



**DEPARTMENT OF THE NAVY**  
HEADQUARTERS UNITED STATES MARINE CORPS  
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WASHINGTON, DC 20350-3000

MCO 3900.15B  
C 061  
10 March 2008

MARINE CORPS ORDER 3900.15B

From: Commandant of the Marine Corps  
To: Distribution List

Subj: MARINE CORPS EXPEDITIONARY FORCE DEVELOPMENT SYSTEM (EFDS)

Ref: (a) MROC Decision Memorandum 54-2005, Executive Session -  
Headquarters Alignment, 20 September 2005 (NOTAL)  
(b) MARADMIN 621/05  
(c) CJCSI 3170.01F (NOTAL)  
(d) SECNAVINST 5000.2  
(e) CMC Policy Memorandum 1-99  
(f) CMC Policy Memorandum 1-02  
(g) Marine Corps Order P3121.1  
(h) Headquarters, US Marine Corps, Deputy Commandant for  
Programs and Resources, POM Serial

Encl: (1) Phase I - Capabilities Analysis  
(2) Phase II - Solutions Analysis  
(3) Phase III - Program Development  
(4) Phase IV - Capabilities Implementation and Transition  
(5) Capabilities Development and Integration Board  
(6) Universal Need Statement (UNS) Processing  
(7) Urgent Universal Need Statement (U-UNS) Processing  
(8) Terms, Definitions and Acronyms

1. Situation

a. Reference (a) directed the Deputy Commandant for Combat Development and Integration (DC CD&I) to lead integration of United States Marine Corps (USMC) warfighting capabilities.

b. Reference (b) assigns DC CD&I as the Marine Air-Ground Task Force (MAGTF) Integrator with the authority and responsibility to conduct Capabilities Based Planning (CBP), as described in references (c) and (d).

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c. Reference (c) establishes the Joint Capabilities Integration and Development System (JCIDS), under which the Services must apply Capabilities Based Assessment (CBA) when improving or acquiring capabilities. JCIDS calls for developing capabilities by integrating activities across the seven pillars of combat development: Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel, and Facilities (DOTMLPF).

d. Reference (d) issues procedures for implementation of JCIDS guidance within the Department of the Navy (DoN).

e. References (e) and (f) direct each element of the MAGTF to have an advocate at headquarters Marine Corps to represent them in various internal and external processes associated with capabilities development and resourcing.

f. Reference (g) authorizes Deputy Commandant for Programs and Resources to prepare the Marine Corps POM submittal and publish guidance each POM development cycle.

g. Deputy Commandant for Programs and Resources issues periodic POM serial documents (reference (h)) concerning how the POM will be developed for a specific POM year.

h. This order establishes Marine Corps policy for conducting CBP consistent with JCIDS within the EFDS, and describes the relationships between DC CD&I; other Deputy Commandants (DCs)/MAGTF and functional advocates; Commanders, Marine Forces (COMMARFORs); Department of Navy Deputy Chief Information Officer (Marine Corps) (DoN Dep CIO (MC)); Director, Intelligence (functional advocate); and Director, Command, Control, Communications, and Computers (C4) (functional advocate); Commander, Marine Corps Systems Command (MCSC); the Office of the Chief of Naval Operations (OPNAV); and Commander, Naval Sea Systems Command (NAVSEA).

## 2. Cancellation. MCO 3900.15A.

3. Mission. The EFDS will be used to develop future warfighting capabilities to meet national security objectives. The system will guide the identification, development, and integration of warfighting and associated support and infrastructure capabilities for the MAGTF. DC CD&I will lead the execution of this process and, in conjunction with MAGTF and functional advocates, COMMARFORs, and Commander, MCSC, will conduct the integration tasks across the seven pillars of combat

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development and the six warfighting functions (WFF), and will also address the direct support provided to the MAGTF by the Supporting Establishment (SE), and the Department of the Navy for afloat applications through the Naval Capabilities Development Process (NCDP).

#### 4. Execution

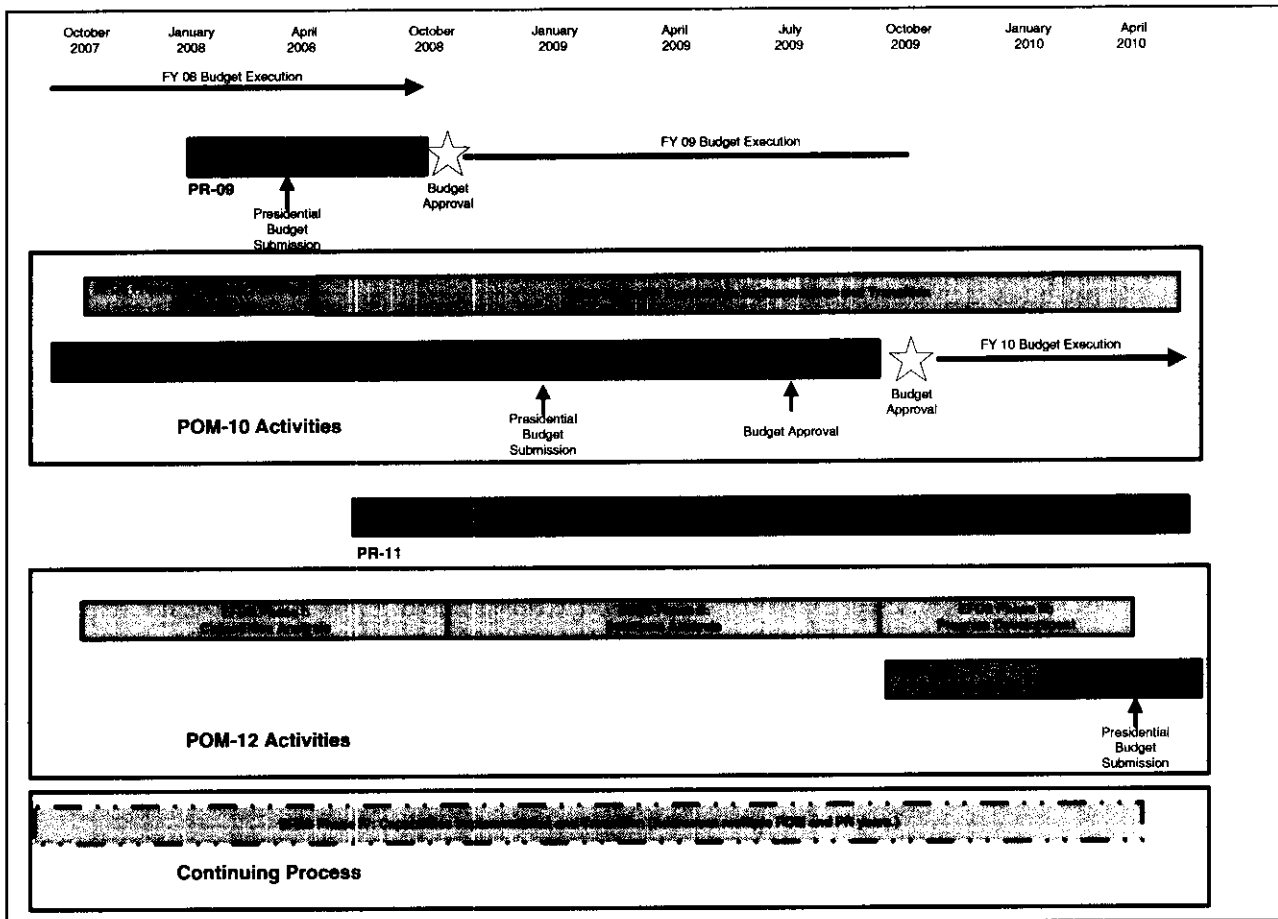
##### a. Commander's Intent and Concept of Operations

(1) Commander's Intent. EFDS will facilitate the development and timely delivery to the operating forces of fully integrated warfighting and associated support and infrastructure non-warfighting capabilities.

(2) Concept of Operations. EFDS is a deliberate, four-phased process that is executed cyclically and is synchronized with the Planning, Programming, Budgeting, and Execution System (PPBES) and the Defense Acquisition System. It is a coordinated effort, led by DC CD&I and involving participation in all phases by all DCs/MAGTF advocates; COMMARFORs; DON Deputy CIO (MC), the functional advocates (Director, Intelligence, and Director, C4); and Commander, MCSC. Figure 1, Alignment of EFDS and PPBE Processes, depicts the overlapping activities required to execute EFDS.

(a) Phase I (Capabilities Analysis) includes the first two activities of the capabilities based assessment (CBA). The first of these activities is the functional area analysis (FAA), which identifies current and future required capabilities and tasks to execute Marine Corps operating and enabling concepts, the conditions under which these tasks must be performed, and the performance standards that must be achieved. MAGTF capabilities will be published in the MAGTF Capabilities List (MCL). The second activity is the functional needs analysis (FNA), which identifies capability gaps (see enclosure 8) and excesses in current Marine Corps capabilities and naval capabilities required to provide them. Inputs to Phase I include Advocates' Gap Lists (AGLs), Universal Need Statements (UNS), and Joint Urgent Operational Needs Statement (JUONS). Phase I concludes with publication of the MAGTF Gap List (MGL), which is a prioritized list of capability gaps, organized by WFF. The Marine Requirements Oversight Council (MROC) is the approval authority for the MCL and MGL.

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**Figure 1: Alignment of EFDS and PPBE Processes**

(b) Phase II (Solutions Analysis) consists of a functional solutions analysis (FSA) to identify strategies for eliminating capability gaps; publication of a solution planning directive (SPD) detailing how the Marine Corps will implement the preferred solutions or pursue the capability through the NCDP; and a MAGTF Requirements List (MRL) prioritizing existing programs and new initiatives for consideration during the next program objective memorandum (POM) cycle. The FSA is conducted using DOTMLPF working groups (DWGs) to identify potential solutions. The DWGs recommend solutions that are published in a SPD that DC CD&I develops and submits to the MROC for approval. The SPD provides specific tasks to DCs and other organizations for mitigating or eliminating capability gaps. Phase II concludes with publication of the MRL, an integrated, prioritized list of materiel and non-materiel solutions (including new initiatives and existing programs) for consideration during the next POM development process. The MROC is the approval authority for the MRL. The MRL is an initial

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baseline, and will be subject to further refinement, with MROC approval, as described in paragraph 4a(2)(c), below.

(c) Phase III (Program Development) includes the preparation and submission of the Warfighting Investment Program Evaluation Board (WIPEB) and Training PEB input to the Marine Corps POM. The PEBs (as designated by DC Programs and Resources (DC P&R)), the POM Working Group, and the Program Review Board evaluate the MRL and recommend to the MROC programs and initiatives to be funded in the upcoming POM. Phase III concludes when the WIPEB recommendations are integrated with other investment recommendations and forwarded to the MROC as the Tentative POM (T-POM), or to the appropriate OPNAV sponsor for naval or Blue-In-Support-Of-Green (BISOG) capabilities.

(d) Phase IV (Capabilities Implementation and Transition) includes all aspects of delivering coherent and fully integrated warfighting capabilities to the operating forces. Phase IV continues through the employment and monitoring of capability solutions identified during the FSA.

b. Tasks

(1) DC CD&I/CG, MCCDC. DC CD&I/CG, MCCDC is the lead for all combat development activities conducted in the execution of the EFDS and the NCDP (Seabasing), and is empowered to:

(a) Serve as the principal representative for Marine Corps interests in combat development matters addressed in joint, naval, multiservice, and multinational forums and processes.

(b) Serve as MAGTF advocate for Command Element (CE) and Science and Technology (S&T). As a MAGTF advocate:

1. Provide subject matter experts (SMEs) as members of DWGs to identify MAGTF capabilities and associated tasks, conditions, and standards; identify capability gaps and excesses during Phase I of EFDS; and conduct the DOTMLPF analysis leading to a full range of solution strategies during Phase II of EFDS.

2. Develop an AGL for the CE.

3. Designate SMEs as members of function sub-groups (FSG) responsible for developing input to the T-POM.

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4. Designate SMEs as members of IPTs responsible for preparing JCIDS compliant capabilities documentation required by reference (c).

5. Prepare an advocate campaign plan (ACP), at the discretion of the advocate. The ACP will consider capabilities identified in the MAGTF Capabilities List and will be submitted for consideration during the functional needs analysis in Phase I of EFDS.

(c) Coordinate and integrate inputs from DCs/MAGTF advocates; COMMARFORs; DON Dep CIO (MC), functional advocates; Commander, MCSC; and other entities, in order to identify and develop coherent and effective solutions to capability gaps and excesses. Integration of combat development actions involves:

1. Consideration of inputs from all appropriate sources.

2. Collaborative engagement with all stakeholders.

3. Selection of solutions that best meet requirements for timely delivery of needed capabilities to the Operating Forces, in consideration of the needs of all elements of the MAGTF.

4. The proper timing and harmonization of combat development activities, so as to ensure that the various elements of solutions (in terms of the pillars of DOTMLPF) are delivered in the correct sequence and in the manner best suited to meet operational warfighting needs.

(d) Resolve issues regarding combat development activities, to include prioritization of capability gaps, identification of specific solutions across the pillars of DOTMLPF, and programming actions associated with the WIPEB, associated PEBs, OPNAV program sponsors, and the Naval Expeditionary Warfare Engineering IPT (NExWE IPT).

(e) Assign tasks to the MAGTF and functional advocates, with respect to the accomplishment of actions incident to the execution of the EFDS. These tasks include, but are not limited to submission of AGLs and UNSs in support of Phase I.

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(f) Designate the chairperson for the Capabilities Development and Integration Board (CDIB).

(g) Develop Marine Corps service concepts, and lead Marine Corps participation in the development of joint, naval, multinational and other service concepts.

(h) Direct the design and conduct of experimentation for the support of capability development and participate, as required, in joint, multinational and other service experiments.

(i) Manage UNS, Urgent UNS (U-UNS), Marine Corps interests in shipbuilding and afloat capabilities, and JUONS to validate and document operational deficiencies for which solutions will be sought, via the EFDS.

(j) During Phase I (Capabilities Analysis):

1. Conduct the FAA to identify capabilities and associated tasks, conditions, and standards consistent with current and future operating and enabling concepts.

2. Conduct the FNA to identify capability gaps and excesses and prioritize them in the MGL.

3. Provide the MGL to cognizant organizations for use in their assessment processes (including Dep DON CIO (MC) for its required Information Technology Support Group (ITSG) assessment, and OPNAV program sponsors (BISOG)).

4. Develop Department of Defense Architecture Framework (DoDAF) operational view (OV)-1 (High-level Operational Concept Description) and OV-5 (Activity Model) based upon approved operational concepts in support of FAA and FNA analysis.

(k) During Phase II (Solutions Analysis):

1. Conduct the FSA, utilizing the MGL, the ITSG assessment and other appropriate documents, to develop the integrated DOTMLPF solutions that will eliminate or mitigate the capability gaps identified during the FNA.

2. Serve as coordinating authority for the development and maintenance of Marine Corps service doctrine and coordinate with Deputy Commandant for Plans, Programs, and

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Operations (DC PP&O) for Marine Corps participation in the development of multinational, joint, and multiservice doctrine.

3. Develop and implement force structure solutions, through changes to tables of organization and equipment, or the creation of new units. Serve as the focal point for adjudication, planning, development, and evaluation of force structure initiatives, and for required action concerning force structure initiatives directed by the President, the Secretary of Defense, the Secretary of the Navy or Commandant of the Marine Corps (CMC).

4. Develop and implement training solutions, through changes to formal schools, the creation of new courses of instruction, and modifications to training and readiness manuals.

5. Develop and implement materiel solutions, through articulation of performance attributes in JCIDS-compliant capabilities documentation, and leadership of Marine Corps participation in the staffing of naval, afloat, joint and other service capabilities documentation.

6. Develop and implement leadership and education development solutions, through changes to Marine Corps formal professional military education processes.

7. Identify to DC Manpower & Reserve Affairs (DC M&RA) those components of capability gaps subject to solution or partial solution through personnel actions, and coordinate the integration of personnel-related solutions within the EFDS.

8. Identify to DC Installations and Logistics (DC I&L) those components of capability gaps subject to solution or partial solution through changes to facilities requirements, and coordinate the integration of facilities-related solutions within the EFDS.

9. Identify S&T gaps, coordinate the articulation of S&T objectives for the support of capability development, and program S&T resources within the WIPED and Training PEB.

10. Identify to DON Dep CIO (MC) those IT components of capability gaps subject to ITSG Value Risk



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Assessment and coordinate the integration of IT solutions within the EFDS.

11. Identify to appropriate advocates those components of capability gaps subject to solution or partial solution through policy actions.

(1) During Phase III (Program Development):

1. Chair the WIPEB to prepare the warfighting investment baseline program submission to the Marine Corps POM, to include inputs from other assessments impacting warfighting integration such as the ITSG Value Risk Assessment and other appropriate inputs.

2. Represent warfighting investment requirements to other PEBs to inform them of actions necessary to eliminate or mitigate MAGTF capability gaps.

3. Represent the Marine Corps, and advocate for shipbuilding and afloat requirements within the NCD, FNA reviews, and the NExWE IPT.

(m) During Phase IV (Capabilities Implementation and Transition):

1. Serve as Operating Forces' user representative in the Defense Acquisition Process by managing actions related to the decisions announced in the SPD and through the DON Resources, Requirements, and Review Board (R3B), tracking the implementation of actions approved in the T-POM, and maintaining understanding of changing capabilities and evolving gaps.

2. Track fielding of new capabilities (materiel and non-materiel) to ensure integration and synchronization across the DOTMLPF pillars.

(n) Develop and maintain operational procedures required to implement this MCO.

(o) Manage, coordinate, maintain and serve as the primary review authority for the Marine Corps Task List (MCTL),

1. Provide periodic examination of the MCTL to reflect installation METLs, unit Core METLs, named operation METLs and CONPLAN/OPLAN METLs.

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2. Lead Marine Corps participation and coordination with naval, Joint and other service task list initiatives.

3. Coordinate the activation, deactivation, and reassignment of Marine Corps installation and unit METLs with DC PP&O, to facilitate compliance with readiness reporting systems.

4. Define doctrinal tasks and support operational reporting requirements.

(p) Create DoDAF OV-1 (High-level Operational Concept Description) to support ICD development; and OV-2 (Operational Node Connectivity Description, OV-3 (Operational Information Exchange Matrix), OV-4 (Organizational Relationships Chart), OV-5 (Activity Model), OV-6C (Operational State Transition Description) and OV-7 (Logical Data Model) to support CDD and CPD development.

(q) Lead efforts to resolve emergent, combat-related needs of the operating forces, as identified in U-UNS, information collected and analyzed by the Marine Corps Center for Lessons Learned, or other procedures and venues, as required.

(r) Manage the Marine Corps Studies System as the primary means for providing analytical support to the EFDS, and analysis services for the Marine Corps.

(2) Commanders, Marine Forces. Participate in all activities of EFDS by providing operating forces' input to aid in defining required capabilities, characterizing and prioritizing capability gaps, determining appropriate materiel and non-material solutions to address capability gaps, and prioritizing solutions for program development. Operating Forces' input may be provided through a variety of means, including, but not limited to:

(a) Providing representatives to the conferences and working groups associated with the execution of EFDS-related activities.

(b) Identifying capability gaps through the submission of UNS and U-UNS.

(c) Convening operational advisory groups (OAGs) and providing reports of OAG findings and recommendations to

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respective advocates, for consideration in the development of EFDS products.

(d) Reviewing and commenting on EFDS products staffed prior to submission for MROC approval.

(3) DC P&R

(a) Maintain total responsibility for all Marine Corps PPBE matters in order to provide clear single authority and central focus to all Marine Corps resource development efforts.

(b) Provide fiscal guidance and support to DC CD&I for use in developing the WIPEB and Training PEB submissions to, or equities in, the Marine Corps and DON (Seabasing/BISOG) POM.

(c) Review the WIPEB input to the Marine Corps POM. When adjustments are required, return the submission and proposed adjustments to DC CD&I (with revised fiscal guidance, as required) to enable DC CD&I to refine the submission.

(d) Determine potential funding sources for capabilities required to address needs identified in U-UNS for MROC approval.

(4) DC M&RA

(a) Serve as the functional advocate for the Personnel domain.

(b) Provide SMEs as members of DWGs to assist in determining MAGTF capabilities (and associated tasks, conditions, and standards) and capability gaps and excesses during Phase I of EFDS, as well as to conduct the DOTMLPF analysis leading to a full range of solution strategies during Phase II of EFDS.

(c) Develop an AGL for the Personnel domain.

(d) Prepare an ACP, at the discretion of the advocate. The ACP will consider capabilities identified in the MAGTF Capabilities List and will be submitted for consideration during the functional needs analysis in Phase I of EFDS.

(e) Designate SMEs as members of FSGs responsible for WIPEB and associated PEBs that impact warfighting integration.

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(f) Designate SMEs as members of IPTs responsible for preparing JCIDS compliant capability documents required by reference (c).

(g) Develop manpower plans in support of the EFDS and submit combat development-related programming actions for inclusion in the POM.

(5) DC I&L

(a) Serve as the MAGTF advocate for the Logistics Combat Element (LCE) and MAGTF-related facilities issues.

(b) Provide SMEs as members of DWGs to assist in determining MAGTF capabilities (and associated tasks, conditions, and standards) and capability gaps and excesses during Phase I of EFDS, as well as to conduct the DOTMLPF analysis leading to a full range of solution strategies during Phase II of EFDS.

(c) Develop an AGL for the LCE.

(d) Prepare an ACP, at the discretion of the advocate. The ACP will consider capabilities identified in the MAGTF Capabilities List and will be submitted for consideration during the functional needs analysis in Phase I of EFDS.

(e) Designate SMEs as members of FSGs responsible for developing the WIPEB input to the T-POM.

(f) Designate SMEs as members of IPTs responsible for preparing JCIDS compliant capability documents required by reference (c).

(g) Develop facilities plans in support of the EFDS (to include identifying requirements for military construction) and submit combat development-related programming actions for inclusion in the POM.

(6) DC Aviation

(a) Serve as the MAGTF advocate for the Aviation Combat Element (ACE).

(b) Provide SMEs as members of DWGs to assist in determining MAGTF capabilities (and associated tasks, conditions, and standards) and capability gaps and excesses during Phase I

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of EFDS, as well as to conduct the DOTMLPF analysis leading to a full range of solution strategies during Phase II of EFDS.

(c) Develop an AGL for the ACE.

(d) Prepare an ACP, at the discretion of the advocate. The ACP will consider capabilities identified in the MAGTF Capabilities List and will be submitted for consideration during the functional needs analysis in Phase I of EFDS.

(e) Designate SMEs as members of FSGs responsible for developing the WIPEB input to the T-POM.

(f) Designate SMEs as members of IPTs responsible for preparing JCIDS compliant capability documents required by reference (c).

(g) Develop aviation plans in support of the EFDS and submit combat development related programming actions for BISOG aviation funding through OPNAV (N-88) for inclusion in the DON POM.

(7) DC PP&O

(a) Serve as the MAGTF advocate for the Ground Combat Element (GCE).

(b) Provide SMEs as members of DWGs to assist in determining MAGTF capabilities (and associated tasks, conditions, and standards) and capability gaps and excesses during Phase I of EFDS, as well as to conduct the DOTMLPF analysis leading to a full range of solution strategies during Phase II of EFDS.

(c) Develop an AGL for the GCE.

(d) Prepare an ACP, at the discretion of the advocate. The ACP will consider capabilities identified in the MAGTF Capabilities List and will be submitted for consideration during the functional needs analysis in Phase I of EFDS.

(e) Designate SMEs as members of FSGs responsible for developing the WIPEB input to the T-POM.

(f) Designate SMEs as members of IPTs responsible for preparing JCIDS compliant capability documents required by reference (c).

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(g) Develop capability fielding and distribution prioritization plans, based upon the Commandant's Prioritization Message, capability solution delivery schedules, MCO 3120 deployment schedules and other input, to ensure timely fielding of capabilities.

(8) Director, Intelligence

(a) Provide intelligence support for the EFDS, to include threat assessments.

(b) Serve as the functional advocate for the Intelligence WFF and provide inputs via the CE Advocate, DC CD&I.

(c) Provide SMEs as members of DWGs to assist in determining MAGTF capabilities (and associated tasks, conditions, and standards) and capability gaps and excesses during Phase I of EFDS, as well as to conduct the DOTMLPF analysis leading to a full range of solution strategies during Phase II of EFDS.

(d) Develop an AGL for the Intelligence WFF for inclusion in the CE AGL.

(e) Prepare an ACP, at the discretion of the advocate. The ACP will consider capabilities identified in the MAGTF Capabilities List and will be submitted for consideration during the functional needs analysis in Phase I of EFDS.

(f) Designate SMEs as members of FSGs responsible for developing the WIPEB input to the T-POM.

(g) Designate SMEs as members of IPTs responsible for preparing JCIDS compliant capability documents required by reference (c).

(h) As the USMC Military Intelligence Program component manager, coordinate externally with national and defense intelligence agencies in order to leverage resources and technologies to support DC CD&I in MAGTF Intelligence, Surveillance, and Reconnaissance (ISR) capability development.

(9) DON Deputy CIO (MC)

(a) Provide IT decision support to the EFDS, to include implementation of the IT Capital Planning and Investment Control process for the Marine Corps that aligns and integrates with the PPBES.

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1. Provide results of ITSG Capability Gap Assessment to CBA Branch prior to Phase II initiation.

2. Provide results of the ITSG IT initiative Value Risk Assessment in support of Phase III Program Development to MCCDC, CDD, CBA Branch.

(b) Direct and participate as required in the development of DoDAF architecture products in support of each phase of EFDS.

(10) Director, C4. Serve as the functional advocate for C4 support to WFFs and provide inputs via the CE Advocate, DC, CD&I. As functional advocate:

(a) Provide SMEs as members of DWGs to assist in determining MAGTF capabilities (and associated tasks, conditions, and standards) and capability gaps and excesses during Phase I of EFDS, as well as to conduct the DOTMLPF analysis leading to a full range of solution strategies during Phase II of EFDS.

(b) Develop an AGL for the C4 support to WFFs for inclusion in the CE AGL.

(c) Prepare an ACP, at the discretion of the advocate. The ACP will consider capabilities identified in the MAGTF Capabilities List and will be submitted for consideration during the functional needs analysis in Phase I of EFDS.

(d) Designate SMEs as members of FSGs responsible for developing the WIPEB input to the T-POM.

(e) Designate SMEs as members of IPTs responsible for preparing JCIDS compliant capability documents required by reference (c).

(11) Commander, MCSC

(a) Provide SME support during all phases of EFDS and NCDP (BISOG).

(b) Develop systems architecture products in accordance with DoDAF in support of each phase of the EFDS process.

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c. Coordinating Instructions

(1) EFDS is, by design, a collaborative process that achieves effectiveness through the full participation of all elements of HQMC, the Operating Forces, and the Supporting Establishment. All stakeholders will participate in all phases of the EFDS and NCDP (BISOG) by providing input to DC CD&I for use in identifying and creating capabilities. This input may be provided through a combination of means, to include participation in EFDS and NCDP (BISOG)-related forums or through reports of advocate sponsored processes such as the CE Advocacy Board, the Ground Board, the Marine Air Board, the ITSG and other similar processes. Specific stakeholder responsibilities include providing:

(a) Representation to the CDIB.

(b) SME support during the FAA in Phase I to assist DC CD&I in identifying the tasks, conditions, and standards specific to their respective areas of responsibility.

(c) AGLs, supported by top-down analysis, for consideration and potential integration by DC CD&I during the FNA process.

(d) SME support during the FNA in Phase I to assist DC CD&I in identifying capability gaps and excesses.

(e) SME support during the FSA in Phase II to assist DC CD&I in creating a comprehensive solution strategy for mitigating or eliminating capability gaps.

5. Administration and Logistics

a. Administrative and logistics support requirements will be identified by DC CD&I and reported to DC P&R, or the appropriate OPNAV sponsor (BISOG) for funding solutions.

b. Supporting commands and organizations will fund travel required for their support of the EFDS and their participation in required activities.



6. Command and Signal

a. Command

(1) This Order is applicable to the Marine Corps Total Force.

(2) For execution of the EFDS, DC CD&I is supported; all other commands and organizations are supporting.

b. Signal. This Order is effective date signed.



R. MAGNUS  
Assistant Commandant  
of the Marine Corps

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## RECORD OF CHANGES

Log completed change action as indicated.

Change Number	Date of Change	Date Entered	Signature of Person Incorporated Change

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# ENCLOSURE 1

## PHASE I: CAPABILITIES ANALYSIS

### 1000. Overview

#### 1. Purpose

a. The purpose of Phase I, Capabilities Analysis, is to identify the most relevant and pressing capability gaps to be addressed in the next POM. Phase I is a two-step effort: Step 1, Conduct Functional Area Analysis (FAA), and Step 2, Conduct Functional Needs Analysis (FNA). The capability gaps identified in Phase I become the focus of EFDS Phase II, Solutions Analysis. See figure 1000-1, Overview of Phase I, Capabilities Analysis.

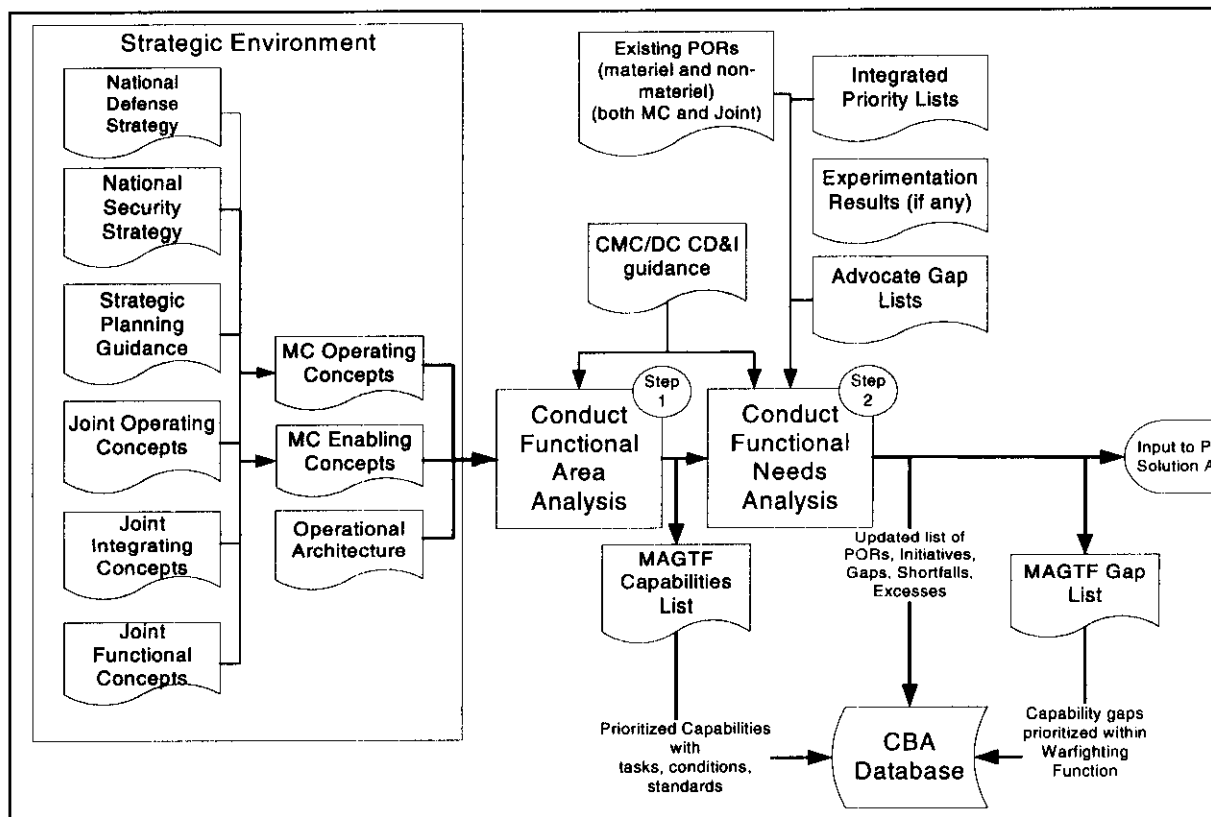


Figure 1000-1: Overview of Phase I, Capabilities Analysis

b. Phase I focuses on identifying MAGTF level capabilities and associated gaps and excesses. Seabasing/BISOG-related capabilities needed to execute MAGTF - level capabilities with their associated gaps and excesses

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will be included. Capabilities and gaps documented in Phase I will be subjected to further analysis to develop non-materiel and materiel solutions in Phase II, Solutions Analysis.

2. Timeline. The capabilities analysis phase begins in October of odd-numbered years and ends in October of even-numbered years.

3. Participants. WFF Integration Divisions (IDs) in Capabilities Development Directorate (CDD) oversee execution of Phase I. The WFF IDs use DWGs to organize subject-matter expertise during the analysis of capabilities, the identification of capability gaps, and the development of solution alternatives.

4. Inputs. Capabilities analysis requires a commonly shared understanding of the future environment. Inputs to Phase I include:

a. Strategic and operational planning guidance from DOD and the CMC.

b. Operational plans and the requirements of the COCOM(s) (specified in the Integrated Priority Lists (IPLs) and identified by MC Component Commanders.

c. AGLs.

5. Outputs. Documents and databases developed during Phase I include the MCL, the MGL, and the Capabilities Based Assessment Database.

a. The MCL is a prioritized list of Marine Corps capabilities and their associated tasks, conditions, and standards, and is organized by WFF.

b. The MGL is a prioritized list of capability gaps and excesses organized by WFF. The MGL identifies the most important capability gaps that will be considered for possible solution or mitigation. The MGL is signed by the DC CD&I, based on approval by the MROC. The cover letter of the MGL will cite the MROC Decision Memorandum that approves the MGL. The MGL provides direction to the IDs that defines the scope of their POM-related activities, ensuring their efforts are focused on the capabilities determined to be most important by the Marine Corps leadership.

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c. The CBA Database is a data repository supporting capabilities-based assessment activities. The database is managed by CDD.

1001. Step 1: Conduct Functional Area Analysis

1. Purpose. Identify current and future required capabilities and tasks to execute Marine Corps operating and enabling concepts, the conditions under which these tasks must be performed, and the performance standards that must be achieved.

2. Background

a. The FAA is the first analytical step in the capabilities-based assessment (CBA) process and provides the framework under which conditions and standards are identified to determine actual gaps and possible excesses. The FAA is conducted to identify the MAGTF capabilities and the associated tasks required to accomplish Marine Corps missions. The analysis includes identifying the conditions under which tasks must be conducted and the standards that should be achieved. The conditions refer to the variables of an operational environment or situation in which a Marine Corps unit, system, or individual is expected to operate and may affect task performance. Conditions include military, physical, and civil considerations.

b. Standards will include both criteria and measures. The measures should be consistent with those identified in the MCTLs, however, criteria (the actual threshold and/or objective values, should address COCOM needs and expectations as identified by Marine Corps Component Commanders.

3. Timeline. The FAA is an ongoing activity that allows Marine Corps capabilities to be documented throughout the EFDS cycle. During the first quarter of even numbered calendar years, the MAGTF Integration Division (MID) will publish a cut off date when changes to the FAA must be submitted to ensure consideration during the next FNA.

4. Participants. G3/G5, MCCDC is assigned responsibility for conducting the FAA. The MAGTF and functional advocates (collectively referred to as Advocates), IDs, and MARFORs provide support.

5. Inputs. Inputs to the FAA include:

- a. National Security Strategy (NSS).
- b. National Defense Strategy.
- c. Strategic Planning Guidance.
- d. Quadrennial Defense Review.
- e. Defense Intelligence Strategy.
- f. Other strategic level guidance.
- g. Joint integrating, operating and functional concepts.
- h. CONOPS (developed by G3/G5, MCCDC using the DoD approved scenarios).
- i. Requirements of Marine Corps Component Commanders drawn from COCOM IPLs and COCOM Plans (OPLANS, CONPLANS, Theater Cooperation Plans), MARFOR-specific requirements, Marine Corps operating and enabling concepts.
- j. Information from the Marine Corps Center for Lessons Learned.
- k. Wargame results.
- l. Tasks in the MCTL.
- m. Products from the existing operational architecture.

6. Outputs. The output of the FAA is the MCL with associated tasks required to accomplish them. Standards are associated with tasks and the operating conditions under which the tasks must be performed. The MCL addresses Marine Corps Component Commander and OPFOR requirements, and executes Marine Corps operating and enabling concepts across the operational spectrum.

7. Tasks to be performed. Figure 1000-2 contains a flowchart identifying tasks to be performed in Step 1, Conduct Functional Area Analysis.

- a. Identify strategic documents

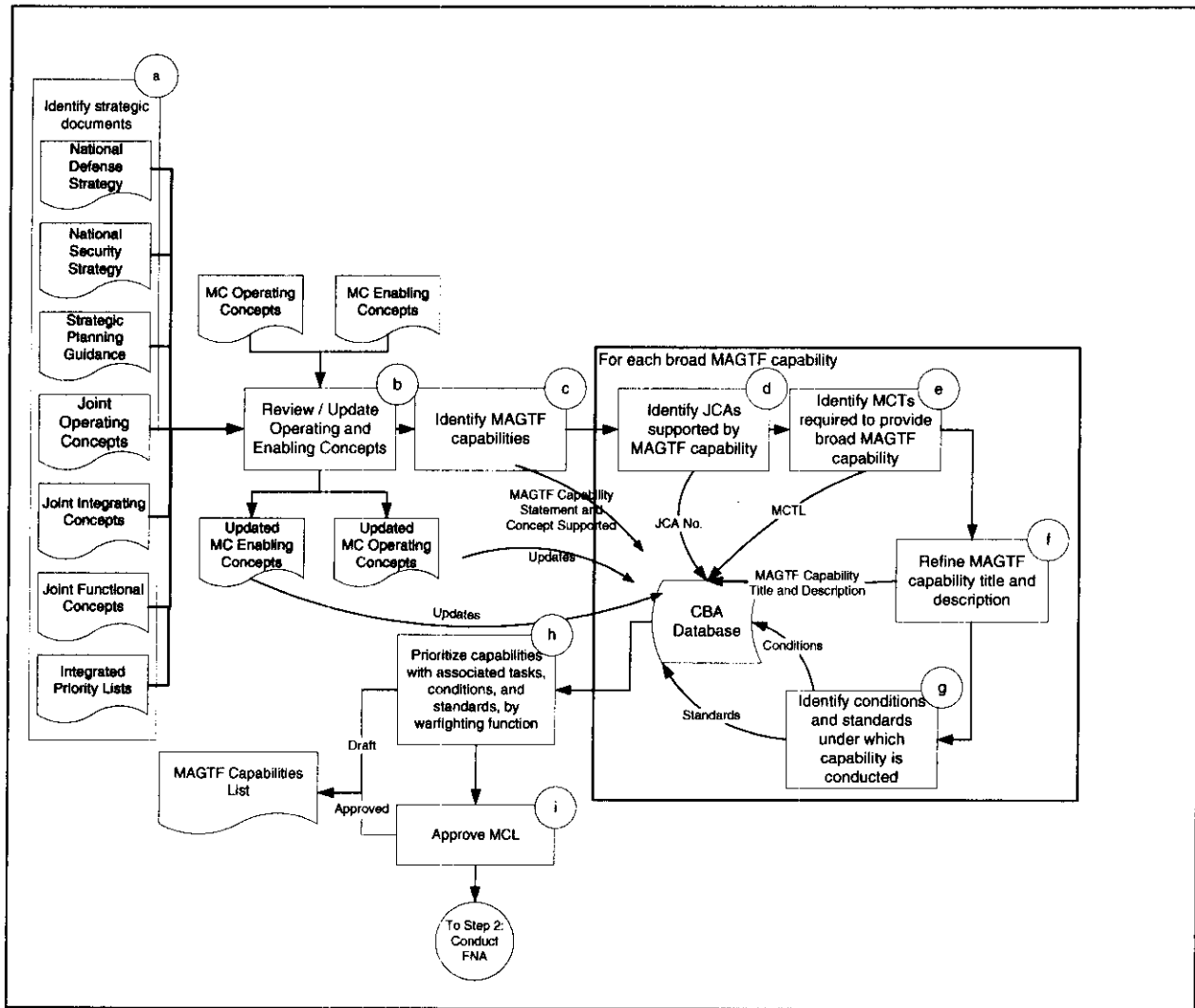


Figure 1000-2: Conduct Functional Area Analysis

(1) Paragraph 1001.4, Inputs, identifies many of the documents used in the FAA. These documents provide a framework for understanding the expectations of the President, the Secretary of Defense (SecDef), and Chairman of the Joint Chiefs of Staff (CJCS). For example, the NSS contains the President's position on National interests, goals and priorities. The National Defense Strategy outlines the SecDef's approach for dealing with challenges and objectives defined in the NSS. The National Military Strategy, prepared by the CJCS, identifies the national military objectives, missions, tasks, end-states, and desired capabilities and their attributes. The CJCS further describes capabilities in the joint operating, integrating, and functional concepts,

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thus providing comprehensive guidance for the military services. Figure 1000-3 depicts these relationships.

(2) Special effort is required to identify additional guidance from the Joint Staff that may impact Marine Corps capabilities. One example is a memorandum from the JROC describing Most Pressing Military Issues.

b. Review / update Marine Corps operating and enabling concepts. The Marine Corps interpretation of the collective guidance is reflected in our operating and enabling concepts, and further interpreted in CMC guidance and direction. It may be necessary to update Marine Corps operating and enabling concepts to ensure recent decisions are

documented and available during the FAA process. In general, these updates will reflect changes / revisions related to how the Marine Corps is implementing the missions and capabilities described, either explicitly or implicitly, in strategic documents.

c. Identify MAGTF capabilities statements. MAGTF capability statements are descriptions of capabilities required to execute Marine Corps operating and enabling concepts. Concepts should be considered in light of the CONOPS patterned after DoD approved scenarios. Lessons-learned can also be used to help identify required MAGTF capabilities. These capabilities are provided using a combination of Marine Corps Tasks (MCTs) and other task

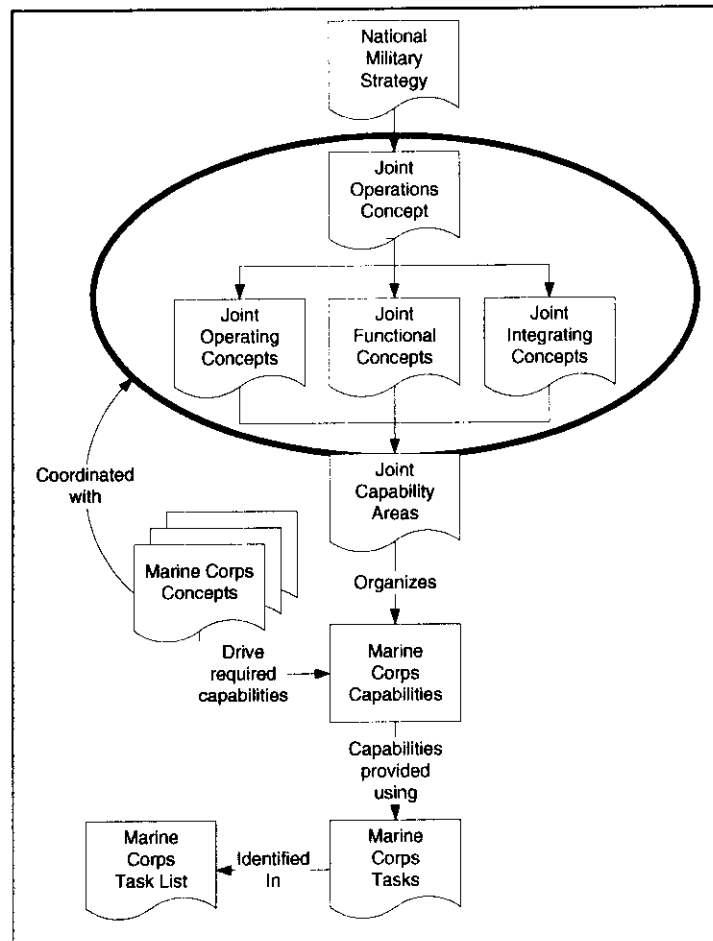


Figure 1000-3: Moving from National Military Strategy to Marine Corps Tasks List



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statements that describe how the capability will be provided. Capability documents (joint capabilities documents (JCDs), initial capabilities documents (ICDs), capability development documents (CDDs), capability production documents (CPDs), and statements of need (SON)) are required to identify why the capability is required. Therefore, MAGTF capabilities should also identify the Marine Corps operating or enabling concepts they support as well as the strategic guidance underlying the concept. This information should be documented in the CBA database.

d. Identify the Joint Capability Areas (JCAs) supported by each MAGTF capability statement. The capability statements are associated with the lowest level of JCA possible.

e. Identify the MCTLs required to provide MAGTF capabilities. Tasks from the Navy Tactical Task List (NTTL), Universal Joint Task List (UJTL), or the joint integrating concepts may be used if the MCTL does not address the requirement. Figure 1000-4 contains an example of two MAGTF capabilities that have been associated with one JCA. For each of these MAGTF capabilities, we have identified MCTLs performed to provide it.

f. Refine MAGTF capability title and description. As MCTLs are associated with a specific MAGTF capability statement, it may be necessary to refine either the capability title or its description to better address the entire scope of the capability provided by the associated MCTLs.

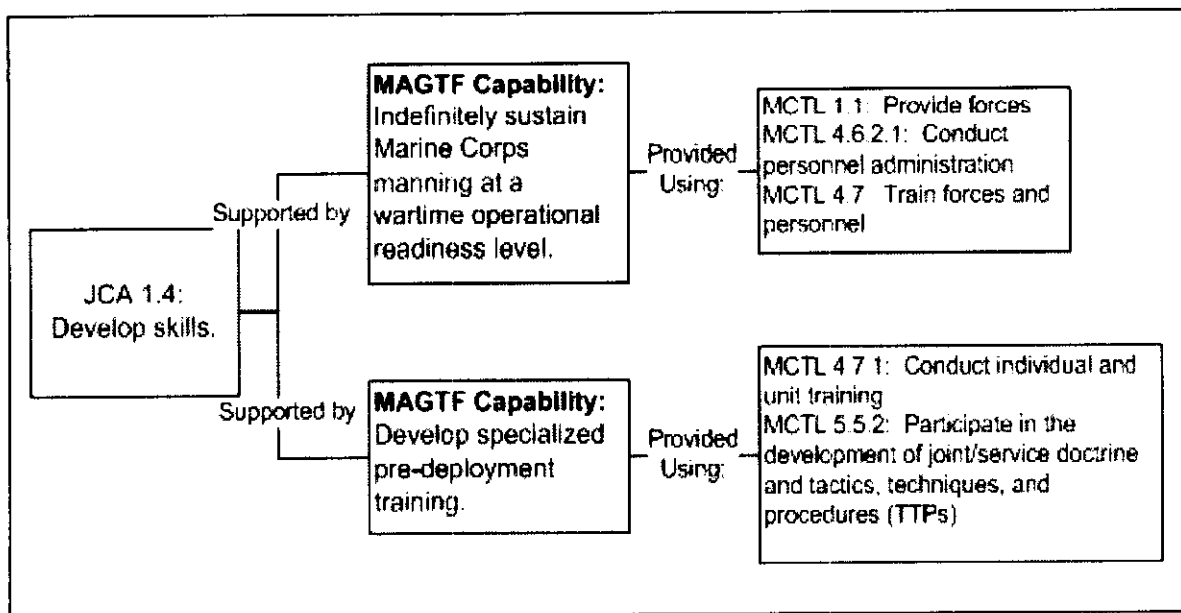


Figure 1000-4: Aligning Marine Corps Tasks with Joint Capability Areas

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g. Identify conditions under which the capability is provided and the standards that must be achieved. Conditions should be drawn from CONOPS and lessons-learned. The conditions and standards may vary with the capability being provided or the concept being supported. These combinations of concept, condition, and standard must be documented during the FAA. Considerations:

(1) Standards include quantitative or qualitative measures for specifying the levels of performance of a MCT. The MCTL contains preferred measures for each MCT.

(2) Changing conditions (military, physical, or civil) might modify the standards to which the capability and MCT must be performed.

h. Prioritize MAGTF capabilities with associated tasks, conditions, and standards by WFF. MCCDC, MID Capabilities Based Assessment (CBA) Branch, will lead development of prioritization criteria to reflect CMC and DC CD&I guidance.

i. Approve MCL. The MCL will be submitted to the MROC for approval. During the FNA the IDs will use this list to establish the order in which they will determine whether capability gaps exist.

#### 1002. Step 2: Conduct Functional Needs Analysis

1. Purpose. Describe capability gaps and excesses in operational terms. The gap analysis is based on comparisons of current operational capabilities and capability standards developed during the FAA.

2. Background. The FNA is the second analytical step in the CBA process and assesses the ability of the current and programmed Marine Corps capabilities to accomplish the tasks identified during the FAA. The FNA assesses the effectiveness of current and programmed Marine Corps warfighting capabilities under the full range of operational conditions and standards identified in the FAA. The FNA determines: (1) which tasks identified in the FAA cannot be performed, performed to standard, performed under some conditions, or performed in the manner that the concept requires using the current or programmed force, and (2) which of these gaps in capability pose sufficient risk to constitute needs that

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require a solution. The FNA also identifies any capability areas that may have overlaps or redundancies.

3. Timeline. The FNA is initiated in April of even-numbered years. The FNA will be completed by October of that year.

4. Participants. The FNA is conducted by each of the IDs with extensive participation by the advocates and the COMMARFORs in the DWGs. The DWGs will consist of cross functional participants to enhance integration of the desired capabilities. The IDs are responsible for identifying DWG participants and ensuring sufficient opportunities for the advocates and the COMMARFORs to contribute to and influence the FNA. Advocates are responsible for submitting current AGLs in time to allow consideration during the FNA. Advocates and the COMMARFORs are required to be active participants in the FNA process to ensure OPFOR priorities and constraints are accurately communicated to the membership of various FNA forums.

5. Inputs. Inputs to the FNA:

a. The MCL developed during the FAA and approved by the MROC.

b. AGL. Advocates optimize their ability to influence the FNA by preparing AGLs consistent with the format provided in Appendix A, Advocate Gap List Format.

c. Marine Corps Component Commander requirements drawn from COCOM IPLs.

d. Universal Need Statements (UNS).

e. Advocate Campaign Plans, when available.

f. The current Marine Corps Midrange Threat Estimate Assessment.

g. CONOPS used during the FAA.

h. JUONS.

i. Current force structure.

j. List of current and planned programs of record (PORs), systems, and programs directly supporting each WFF.

k. Lessons-learned.

6. Outputs. The output of the FNA is the MGL, a prioritized list of gaps and excesses, organized by WFF, that disrupt our ability to execute the required capabilities identified during the FAA. The list includes the attributes of effective solutions that will be identified during the FSA. The gaps are expressed in operational terms that guide future Marine Corps capability analysis and acquisition. The MGL provides direction to the IDs concerning gaps and excesses that require their attention in anticipation of the next POM cycle. During the FSA in Phase II of EFDS, Solutions Analysis, IDs focus on finding solutions across the DOTMLPF pillars to the priority gaps identified in the MGL.

7. Tasks to be performed. Figure 1000-5 contains a flowchart identifying tasks to be performed in Step 2, Conduct Functional Needs Analysis.

a. Preparation Activities. Head, CBA Branch will develop a POA&M culminating with the identification of capability gaps to be included in the MGL. Activities addressed in the POA&M include:

(1) Developing Evaluation Scenarios. G3/G5, MCCDC, will develop evaluation scenarios that include most-likely and most-restrictive operating conditions that are aligned with the scenarios used to conduct the FAA.

(2) Identifying and Notifying Participants. IDs coordinating DWGs are responsible for notifying participants, monitoring participation, and ensuring coordination across all WFFs. Clear lines of communication must exist among the IDs, advocates, Operating Forces, other outside agencies and CBA Branch throughout the entire FNA process.

(3) Collecting and Reviewing Data

(a) IDs coordinating DWGs will be responsible for actually collecting information and data needed during the FNA.

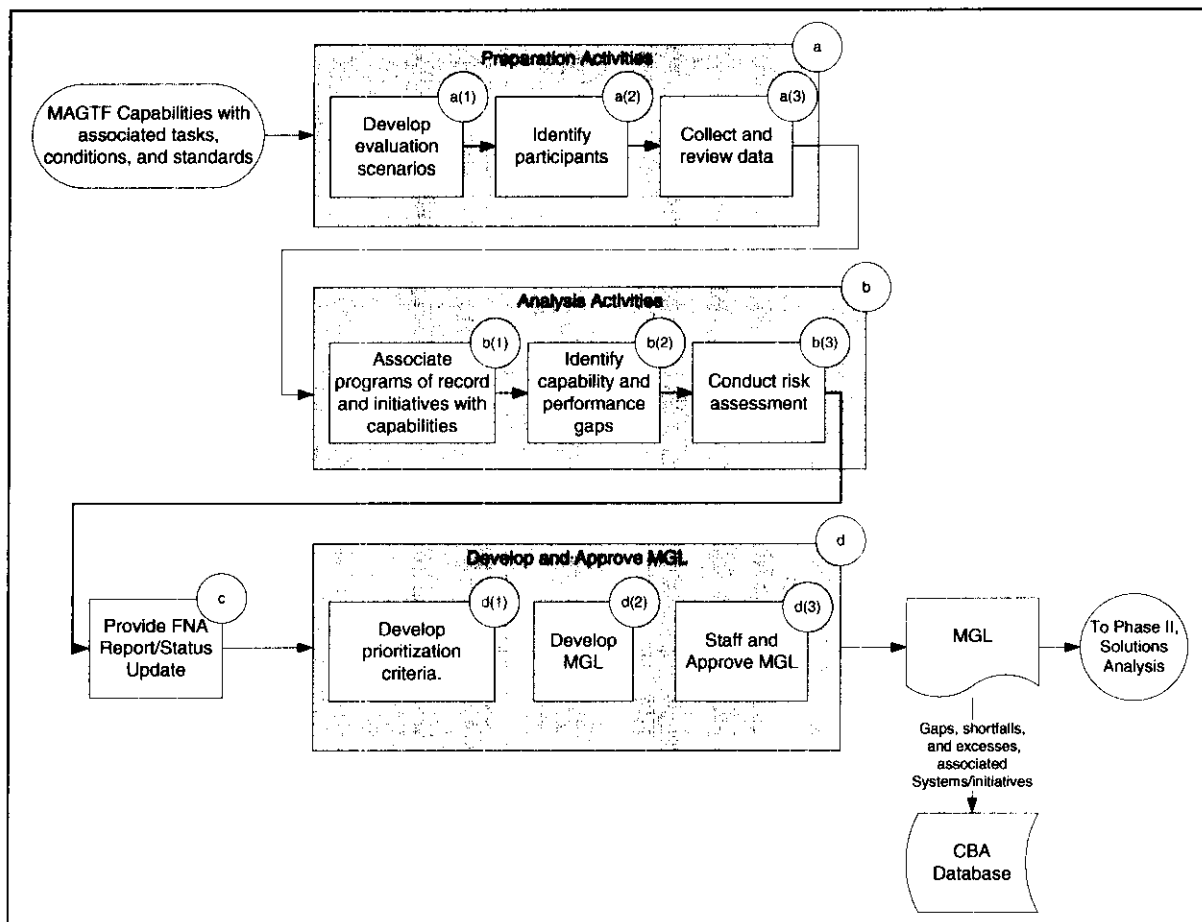


Figure 1000-5: Conduct Functional Needs Analysis

(b) Examples of data to be used during the FNA include, but are not limited to, the following: descriptive and performance information about PORs assigned to each ID, non-materiel initiatives to be considered during the upcoming POM, descriptive and performance information about PORs and other initiatives that previously received supplemental funding, the CONOPS used during the FAA (classified), Operating and Enabling Concepts, appropriate UNSs/U-UNSs, Marine Corps Lessons Learned, IPLs, current MCIA threat assessment data and information, other data as provided by CBA Branch and other inputs (AGLs, higher level guidance, current doctrine, etc). The actual performance attributes of existing programs of records (PORs)/initiatives should also be available for review as necessary.

b. Analysis Activities. This activity leads to the identification of specific gaps in the Marine Corps' ability to achieve mission requirements to the standards identified

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during the FAA. Analysis may identify excesses when capabilities surpass mission requirements. CBA Branch Head will provide analytical support as required to IDs during the conduct of the FNA and will ensure resolution of any ID related issues or concerns. CBA Branch will coordinate FNA status meetings and training. Status reports to Director CDD and CDIB are scheduled during this process to ensure the MGL is complete within the EFDS timeline.

(1) Associate PORs and initiatives with capabilities. PORs are established to support Marine Corps capabilities. To evaluate whether capabilities are sufficient to meet the standards identified in the FAA, the IDs will determine which systems and programs (initiatives) currently support the capability.

(2) Identify Capability and Performance Gaps

(a) CBA Branch Head will provide each ID with a template to populate the FNA findings.

(b) Beginning with the most important MAGTF capability within their WFF, the IDs (supported by a DWG) will determine whether associated MCTs can be performed to the standards under the conditions identified during the FAA. Planning scenarios, based on approved CONOPS, will be used to help make the determination. During this activity IDs will ensure existing UNS are adjudicated.

(c) Capability gaps should be expressed in operational terms. During the FSA the IDs will use operational descriptions to establish the context in which gaps will be eliminated or mitigated. For example, a weapon system may have insufficient range, information may not be accessible to the user at the platoon level, or information may be available, but it arrives too late in the decision cycle. Table 1000-1 identifies other variables that may help identify and describe capability gaps.

(3) Conduct Risk Assessment

(a) Determine the impact on the MAGTF of not providing the capability to the standards identified during the FAA. Does the current capability provide an acceptable level to the COCOM, as described by the Marine Corps Component Commander?

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Examples of Capability Gaps Identified during FNA	
Endurance	Speed of Redirection
Survivability	Discrimination of Effect
Range	Precision Targeting
Coverage	Scalability
Information Sharing	Near Real Time Information
Information Timeliness	Accessibility of Information
Information Precision	Relevance
Information Quality	Threat Mitigation
Information Security	Agile Sustainment
Speed of Action/Effect	Deployability

Table 1000-1: Example performance characteristics of MAGTF capability

(b) Examine how the gap will impact each of the CONOPS and functional concepts developed to support the Marine Corps operating concepts. Can the CONOPS be implemented without eliminating the gap? Can the functional concept be implemented? Can the Marine Corps successfully execute its mission if the gap remains?

(c) Identify how capability gaps and excesses identified by the other IDs may impact the ID's WFF.

(d) Review capability gaps and excesses identified by individual IDs. To ensure a comprehensive understanding of risk, each ID will review capability gaps identified by the other IDs to establish a MAGTF-wide understanding of gaps and their impacts on MAGTF capabilities.

c. Provide FNA Report/Status Update. Through the conduct of the FNA, IDs will be tasked periodically to provide FNA status updates to CBA Branch and to the Director, Capability Development Directorate (CDD). CBA Branch will schedule FNA status updates to the CDIB as required.

d. Develop and Approve MGL. The FNA concludes with descriptions of capability gaps and excesses, and the standards and/or conditions that are not satisfied by current

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Marine Corps PORs or initiatives. Each ID, using its DWG, prioritizes capability gaps within its area of responsibility to indicate their relative importance to accomplishing MAGTF missions. The approved MGL guides future ID analysis efforts and the identification of materiel and non-materiel solutions during the FSA that will be considered for funding during the next POM cycle. Capability excesses are identified and considered for elimination from the capability inventory, with resources redirected to more important needs.

(1) Develop prioritization criteria. Capability gaps will be prioritized based upon their relative importance to the MAGTF mission. Ideas about relative importance are found in CMC Guidance, AGLs, Marine Corps Component Commander requirements originating from COCOM IPLs, and other guidance that may be distributed by the CJCS. CBA Branch leads development of the prioritization criteria. The branch is supported by Operational Analysis Division, as needed.

(a) Criteria should address the breadth of issues that influence which capabilities are required, how important they are to MAGTF capabilities, their alignment with planned future MAGTF capabilities, threat assessments of future enemy capabilities, and other factors deemed to be relevant by the CMC and COMMARFORS.

(b) Proposed evaluation criteria are submitted to the CDIB for validation.

(2) Develop MGL. CBA Branch will develop the MGL using the prioritized capability gaps identified by the WFF IDs and their supporting DWGs. The MGL is developed upon completion of the FNA in November of even-numbered calendar years. The MGL will be submitted for MROC approval in January of odd-numbered calendar years.

(3) Staff and Approve MGL

(a) The draft MGL will be presented to the CDIB for review and validation. Copies of the draft MGL will be provided as read-aheads to CDIB members as directed by the CDIB charter.

(b) The MGL will be staffed via MCATS to the advocates, the COMMARFORS, DC CD&I, and Commander, MCSC. CBA Branch will adjudicate comments. When the adjudication



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process creates significant changes to the MGL, CBA Branch may re-staff the MGL for additional review and comment.

(c) The adjudicated MGL will be submitted via Director, MID, Director, CDD, and DC CD&I for approval by the MROC.

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**APPENDIX A TO ENCLOSURE 1**  
**ADVOCATE GAP LIST: FORMAT**

Capability Description	Capability Standards	Gap or Excess	When will the gap or excess occur?	Impact of gap, or excess on CONOPS	Priority
Enter the capability description as described in the FAA	The standards the Marine Corps must achieve	How the existing capability fails to meet the standard	Identify whether the gap currently exists. If the gap is expected to occur in the future, describe when (expressed in FYs)	What is the impact of not eliminating the gap	Identify the advocate's priority for this capability

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**ENCLOSURE 2**  
**PHASE II: SOLUTIONS ANALYSIS**

2000. Overview

1. Purpose. To describe the three steps of EFDS used to complete Phase II, Solutions Analysis.
2. Background. Capability gaps and excesses are identified during Phase I of EFDS, Capabilities Analysis. Phase II, Solutions Analysis, is an analysis of each of those gaps and excesses, which results in identification of possible solutions that cross the DOTMLPF pillars, and recommended solution strategies. The solution strategies are published in a SPD that is approved by the MROC. At the end of Phase II, specific requirements and initiatives that are sufficiently mature for funding during the next POM cycle are prioritized with existing programs of record to produce the MRL. Initiatives and PORs listed in the MRL are considered for POM funding by the Warfighting Investment Program Evaluation Board (WIPEB) in Phase III, Program Development.
3. Timeline and Products Developed. Solutions Analysis will be conducted in three distinct phases during odd-numbered calendar years (see figure 2000-1).
  - a. Step 1: Conduct DOTMLPF Analysis. The DOTMLPF analysis is an operationally based assessment of potential DOTMLPF approaches to solve or mitigate capability gaps identified during the FNA in Phase I. The two products of the DOTMLPF analysis are the SPD that identifies approved materiel and/or non-materiel initiatives that mitigate or eliminate capability gaps, and a list of proposed S&T objectives.
  - b. Step 2: Implement Solution Planning Directive. During this step capability documents and DOTMLPF change requests are prepared. Initiatives will be prioritized and merged into the MRL.

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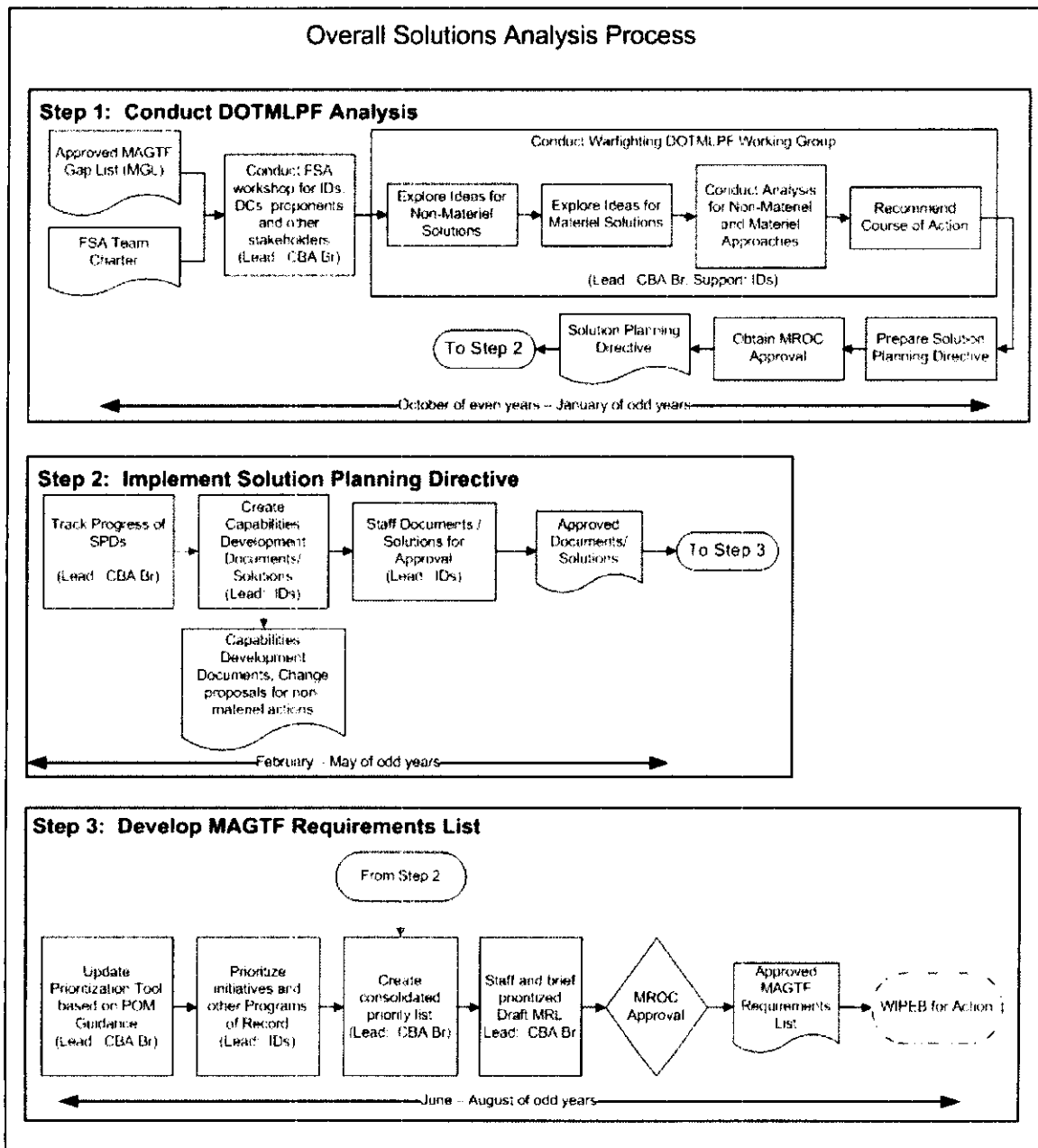


Figure 2000-1: Overview of Phase II: Solutions Analysis

c. Step 3: Develop MAGTF Requirements List. During this step the IDs prioritize PORs and new materiel and non-materiel solutions and other initiatives requiring resources, organized by WFF, using prioritization guidance approved by the DC CD&I. CBA Branch will create a prioritized, draft MRL for MROC approval. Once approved, the MRL will be used by the DC CD&I in the WIPEB as the basis for recommending programs and initiatives for funding in the POM.

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4. Participants. Members provide the DWGs with expertise to aid in understanding each capability gap and in identifying alternative approaches for eliminating these gaps. Organizations required to participate include: advocates, COMMARFORs, DC CD&I, and Commander, MCSC. Specific headquarters elements, commands, agencies, and offices participating in each step of Solutions Analysis are identified in the discussion of each step.

5. Inputs. Inputs to Phase II include:

- a. The MGL developed during Phase I.
- b. Joint and Marine Corps doctrinal publications.
- c. Lists and descriptions of programs of record.
- d. Titles and descriptions of initiatives considered, but not funded, during previous POMs.
- e. Descriptions of existing training capabilities.
- f. Information from lessons-learned, military exercises or experiments will also be sought to help identify and evaluate solution strategies.

NOTE: Inputs do NOT include AGL or IPLs, which are used in Phase I, Capability Development, and are reflected through the MROC-approved MRL.

6. Outputs. Documents and databases developed during Phase II include:

- a. A SPD, which details the results of the DOTMLPF analysis by describing, for each gap, actions to be taken within the DOTMLPF pillars that will either mitigate or eliminate a capability gap described in the MCL. The SPD includes lead and supporting offices as well as a required completion date.
- b. The MRL, which identifies initiatives, in priority order, that will eliminate or mitigate capability gaps identified during the FNA. Once the MROC approves the MRL, it will be used to develop the Warfighting portion of the POM to acquire capabilities most closely aligned with Marine Corps warfighting needs. The MRL includes:

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(1) PORs designated as "baseline."

(2) PORs that should be funded beyond the recommended baseline.

(3) New initiatives (including capabilities originally acquired with supplemental funding).

(4) Previously considered PORs that were not funded in earlier POM cycles.

2001. Step 1: Conduct DOTMLPF Analysis

1. Purpose. The overarching purpose of the DOTMLPF Analysis is to perform an in-depth review of potential non-materiel and materiel solutions for the capability gaps identified and approved in the MGL.

2. Timeline. The FSA will be conducted between January and March of odd numbered calendar years.

3. Participants. Director, MID, oversees the FSA process. The IDs are responsible for conducting the FSAs, and coordinating participation by stakeholders across the Marine Corps. Each ID organizes participants into a DWG and chairs DWG activities. Individual participants for each DWG include representatives of the advocates, the MARFORs, MCSC, M&RA, TECOM, and IDs. Analysts from CBA Branch provide technical capabilities development support.

4. Inputs. Inputs to the DOTMLPF analysis include:

a. The MGL provides a prioritized list of capability gaps and excesses identified during the FNA in Phase I.

b. Standards and operating conditions used to identify whether a capability gap exists.

c. Descriptions of PORs and current initiatives that enable each capability.

5. Outputs. The output of the DOTMLPF analysis is an MROC-approved SPD that assigns responsibility for executing actions intended to eliminate or mitigate capability gaps using the DOTMLPF pillars. The SPD becomes the MROC's plan to eliminate or mitigate capability gaps.

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6. Tasks to be performed. Figure 2000-2 contains a flowchart identifying tasks to be performed in Step 1, Conduct the FSA. The flowchart identifies lead and supporting offices.

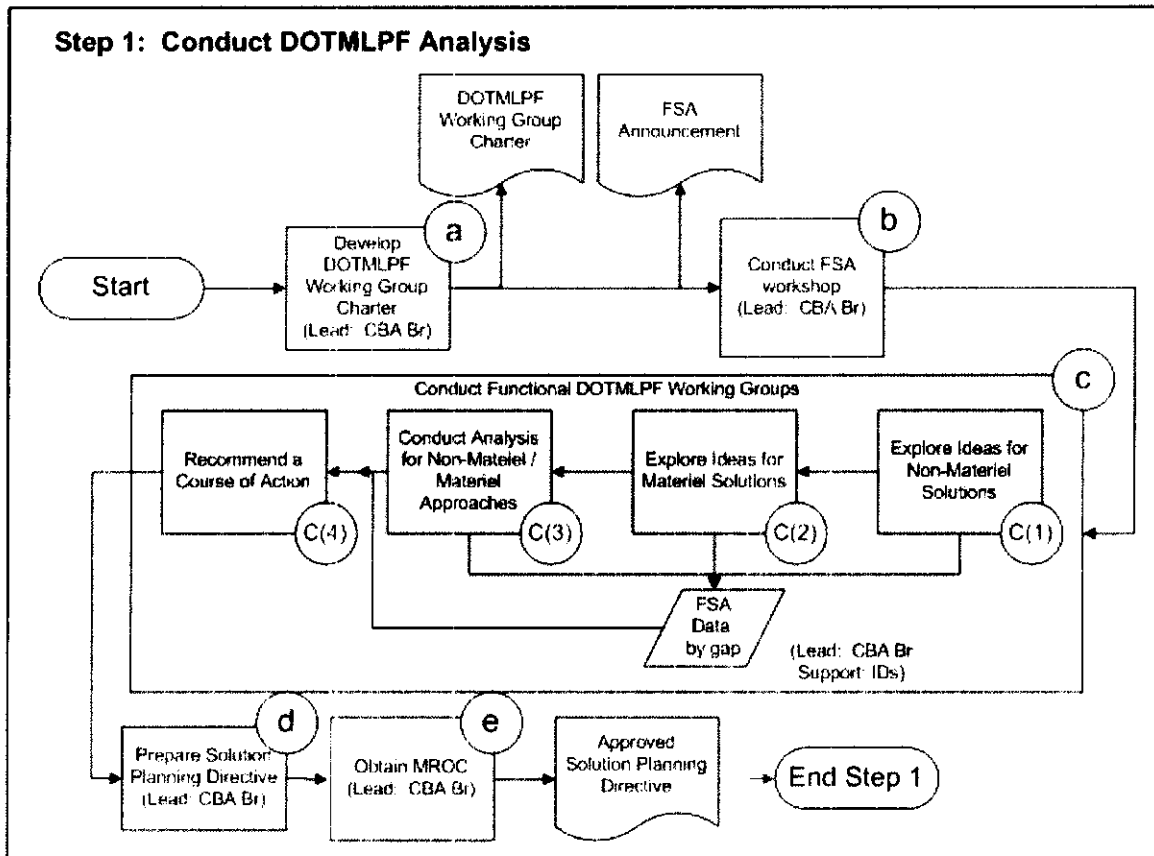


Figure 2000-2: Conduct DOTMLPF Analysis

a. Develop DWG Charter. Working with the IDs, CBA Branch will develop the DWG charter. The charter will establish a DWG for each of the WFFs. To promote integration and to develop a MAGTF view of Marine Corps capabilities, each DWG will include participants as stated in paragraph 2001.3. This charter provides the authority, structure, participants and guidelines for an effective DWG that will be used to conduct the FSA.

b. Conduct FSA workshop. At the conclusion of the FNA, CDD will release a message announcing the start of the FSA and a workshop schedule. CBA Branch will conduct workshops to ensure participants understand the objectives of the FSA, the processes that will be used, how participants should prepare to participate in the FSA, and the expected outputs

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of the FSA. All components participating in a DWG will attend the workshop. The CBA Branch will present the DWG Charter during the FSA Workshop.

c. Conduct Functional DWG. As specified in the DWG Charter, the DWGs are organized by WFF. Each WFF DWG will conduct DOTMLPF analysis on its prioritized capability gaps, beginning with its top priority (Figure 2000-3 highlights the DOTMLPF process). The overarching purpose of the DOTMLPF analysis is to perform an in-depth review of potential non-materiel and materiel solutions for the gaps/needs as identified and approved in the FNA. There are four major elements of the WFF DWG.

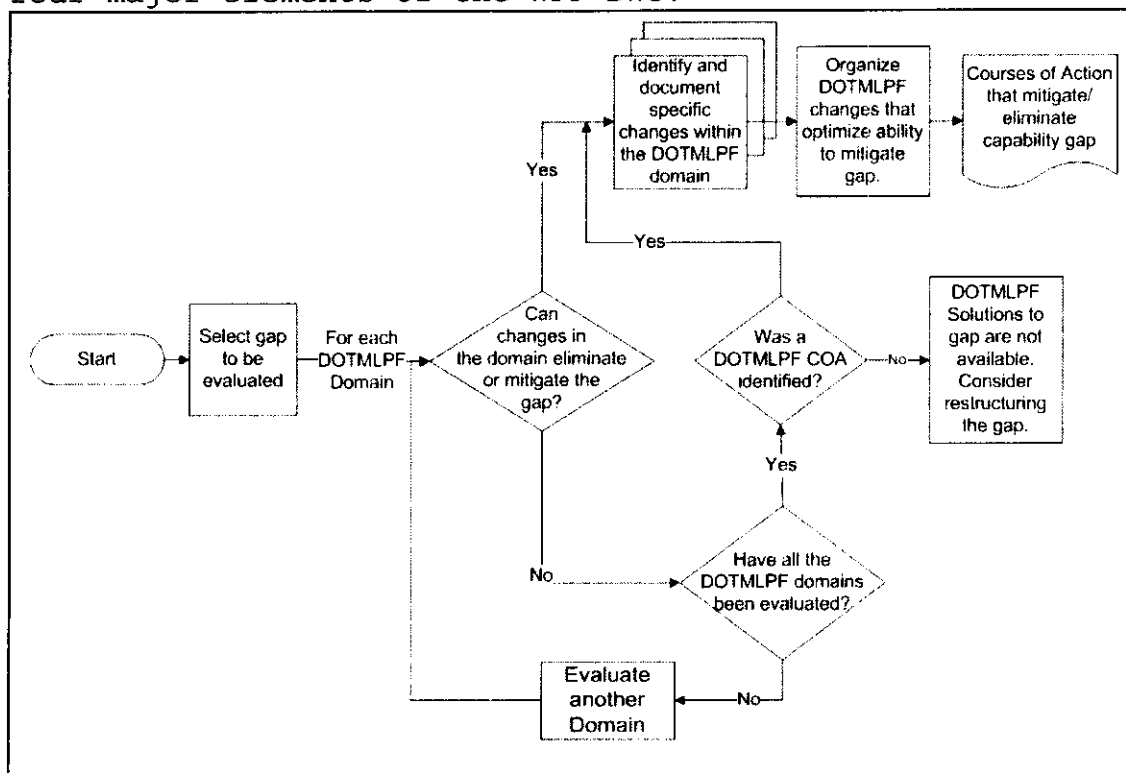


Figure 2000-3: How to Conduct a DOTMLPF Analysis

(1) Explore ideas for non-materiel solutions. Non-materiel solutions are generally preferable to materiel solutions due to the lower cost and faster implementation time. The non-materiel portion of the DOTMLPF analysis is a qualitative assessment that methodically identifies and analyzes potential DOTMLPF solution sets, leading to integrated solutions for eliminating each gap. Specific questions and issues to consider for each of the DOTMLPF pillars are listed in Appendix A, Identifying Non-Materiel Approaches for Eliminating or Mitigating Capability Gaps.



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(2) Explore ideas for materiel solutions. Materiel solutions will be explored if a capability gap cannot be eliminated by non-materiel solutions. The objective is to develop a "straw man" of potential materiel solutions, based on inputs from DWG participants. Appendix B, Producing Ideas for Materiel Approaches, provides additional guidance.

(a) DWG members list and describe briefly all ideas generated for materiel approaches. These ideas will be used during the Analysis of Materiel/Non-Materiel Approaches (AMA), the next step in the DOTMLPF analysis. Appendix B, Producing Ideas for Materiel Approaches, contains additional information.

(b) The materiel approaches may include a family of systems (FoS) or system of systems (SoS) that takes different approaches to filling the capability gap, each addressing operational considerations and compromises in a different way. The approaches shall include the overarching DOTMLPF changes necessary to meld the FoS and SoS into an effective capability. The FoS and SoS materiel approaches may require systems delivered by multiple sponsors and materiel developers.

(3) Conduct Analysis of Non-Materiel/Materiel Approaches

(a) The purpose of the Analysis of Non-Materiel / Materiel Alternatives (AMA) is to determine the best approach or combination of approaches to provide the desired capability or capabilities. Figure 2000-4, How to Assess Materiel and Non-materiel Approaches to Gap Elimination, provides an overview of the approach. Appendix C, Conducting the AMA, provides additional information.

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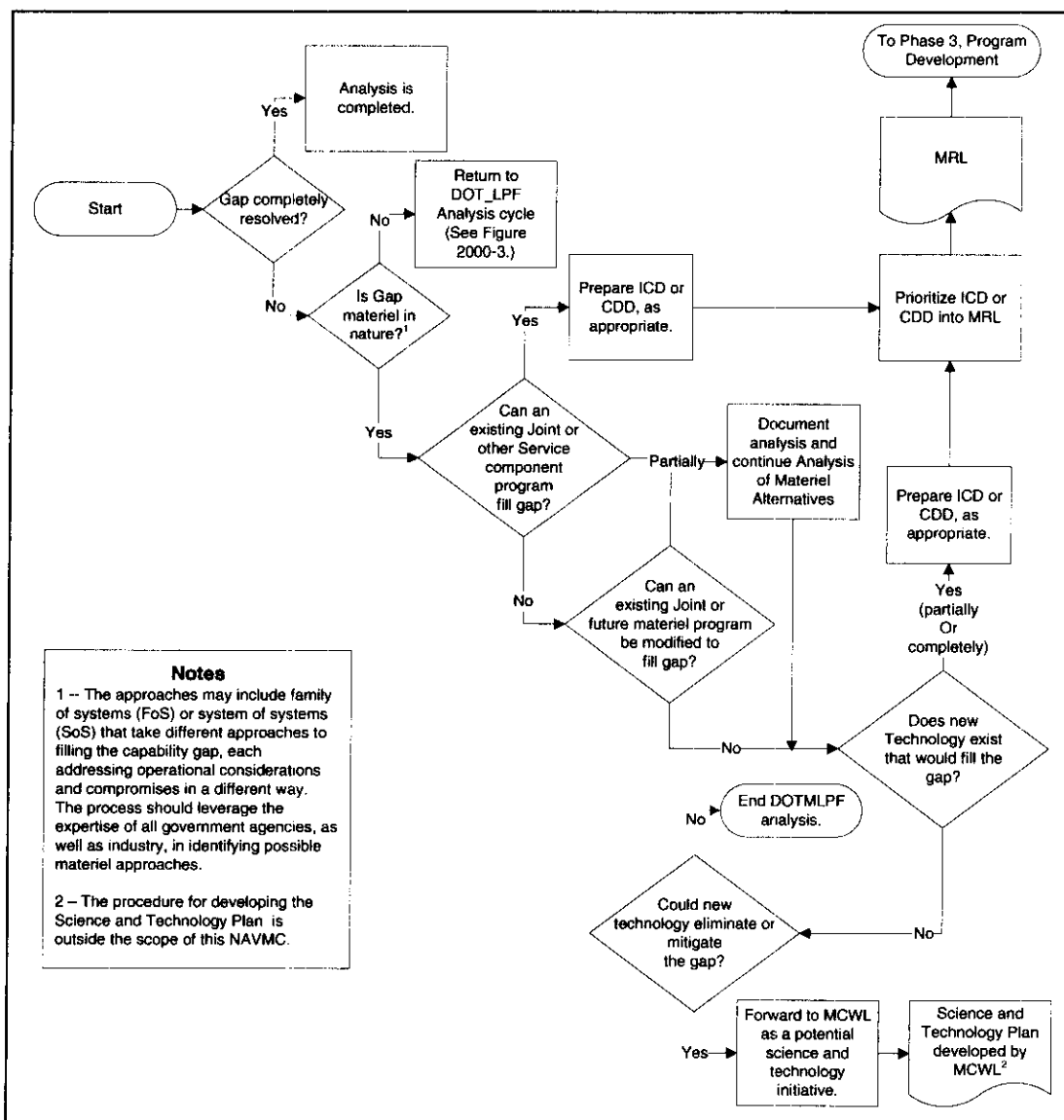


Figure 2000-4: How to Assess Materiel and Non-Materiel Approaches to Gap Elimination

(b) Generally, the AMA will not consider which specific "systems" or "system components" are the best. For example, the AMA may determine that a capability is best satisfied by an armed Unmanned Aerial System (UAS), vice approaches employing submarine launched missiles, artillery or air launched missiles. The AMA will not assess the best alternatives for UASs or bombs. That analysis will occur in an analysis of alternatives (AOA) after the ICD is approved.

(c) The AMA will assess the operational risk associated with each approach, and consider the integrated DOTMLPF implications, to the extent that those implications can be identified. Finally, it will consider the overall

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impact of the proposed materiel approach on the functional and cross-functional areas. The AMA must:

1. Confirm the nature of the capability and the applicable operational environment to be provided when the capability is required. This capability confirmation must include a rough assessment of the sustainability/supportability of the system or SoS. See table 2000-1 for evaluation approaches to consider, given the range of materiel options.

Approach	Evaluation Approach
Existing capabilities or capabilities scheduled for delivery	Examine how the delivery of the proposed capability ties in to the existing program.
New materiel approaches	Evaluate when a useful capability could be delivered to the warfighter through the use of existing technology.
Approaches based on FoS or SoS	Evaluate the necessity to synchronize the development of systems and integrated DOTMLPF considerations across sponsors and materiel developers
Using existing or new systems in new ways	Evaluate when a new or increased capability could be delivered

Table 2000-1: Evaluation Approaches to Materiel Options

2. Examine the ability of the identified ideas for materiel approaches to provide the desired capability or capabilities under the conditions specified.

3. Identify technologies that, if matured, would provide a more effective approach in the future.

4. Evaluate the delivery time frame for each approach. Table 2000-1 identifies specific approach-dependent evaluation issues.

5. Examine additional approaches, as required. Conduct market research to determine if commercial items or non-developmental items are available to meet the desired capability, or could be modified to meet the desired capability. If market research indicates commercial or non-developmental items are not available to satisfy the need, reevaluate the need and determine whether

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it can be restated to permit commercial or non-developmental items to satisfy the required capability.

(d) The product of the AMA is a prioritized list of materiel approaches (or combinations of approaches) ranked by how well each provides the desired capabilities.

(4) Recommend a Course of Action. The DWG will identify specific recommendations to be included in the SPD. Recommendations will consider feasibility, technological maturity, technological risk, supportability, and affordability using the best data available in the pre-acquisition process.

d. Prepare Solution Planning Directive. The SPD identifies specific tasks that must be accomplished to mitigate or eliminate the capability gap. The SPD establishes a comprehensive approach for eliminating or mitigating gaps. It will designate the WFF IDs, headquarters or command responsible for ensuring which task is executed and the core group of commands or organizations responsible for supporting the task lead. A required completion date indicates when the task must be complete. The SPD will organize the tasks by WFF. At a minimum the SPD will address tasks expected to mitigate or eliminate the most important performance gaps within the WFF. SPD format will be provided by CBA Branch. The AMA may determine that a materiel solution exists but that the solution's Technology Readiness Level is low. In this situation the SPD will be issued to MCWL, with instructions to determine, via the USMC S&T IPT, if there are suitable avenues for S&T to mature technology that can meet the need.

e. Obtain MROC approval. The CDIB will approve the SPD before it is submitted to DC CD&I. The MROC will approve the SPD that directs designated commands and organizations to execute tasks described therein.

## 2002. Step 2: Implement Solution Planning Directive

1. Purpose. To execute activities identified in the SPD to eliminate or mitigate the capability gaps identified during the FNA.

2. Timeline. This step will be conducted from February to May of odd numbered calendar years.

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3. Participants. CBA Branch is responsible for overseeing execution of SPDs. SPDs identify commands, directorates, and divisions responsible for executing actions identified during Phase I.

4. Inputs. An approved SPD that directs specific activities required to prepare capabilities documents or initiate changes across the DOTMLPF pillars that will eliminate or mitigate capability gaps.

5. Outputs. Capabilities documents, ranging from ICDs, CDDs, CPDs, and Statements of Need are developed to address materiel solutions. DOTMLPF Change Recommendations (DCRs) are prepared to address non-materiel changes in PORs and systems. The outcomes of implementing the SPD are specific initiatives required to eliminate prioritized capability gaps identified in the FNA. Initiatives requiring funding in the POM are described with sufficient fidelity to allow decision makers to prioritize them and select those that will most improve Marine Corps warfighting capabilities.

6. Tasks to be performed

a. Distribute SPD. CBA Branch will distribute the approved SPD to commands assigned responsibility for taking actions that will eliminate capability gaps.

b. Execute Tasks. Tasks documented in the SPD are undertaken to modify one or more of the DOTMLPF pillars to either eliminate or mitigate the capability gap. Each task is assigned to a specific ID, headquarters or command. The SPD also designates a required completion date. (See figure 2000-5.)

(1) Tasks are designed to change how the Marine Corps uses the DOTMLPF pillars to support our MAGTF capabilities. Examples include developing or revising doctrinal publications, creating or revising training capabilities, or adjusting Tables of Organization and Equipment.

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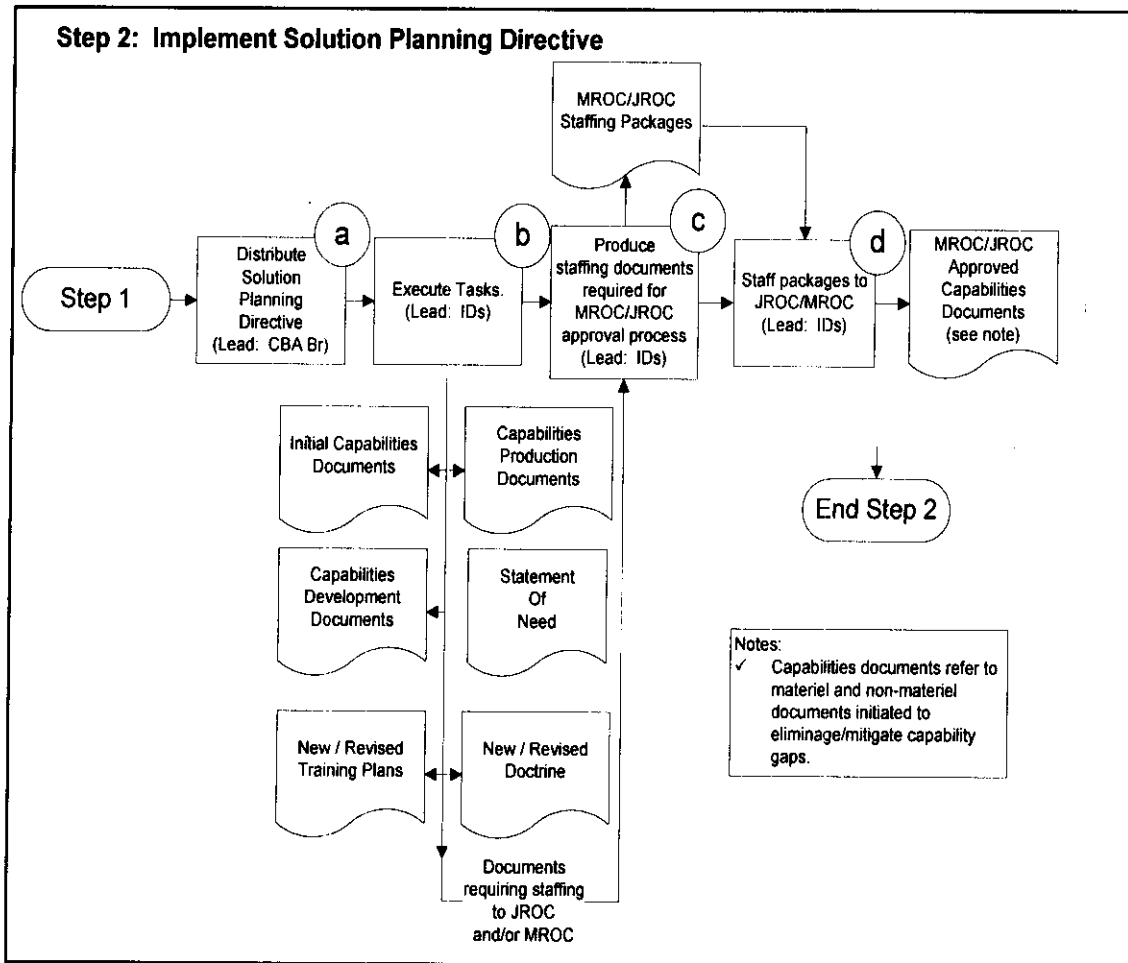


Figure 2000-5: Tasks Conducted to Implement Solution Planning Directive

(2) IDs are responsible for initiating capabilities development documents consistent with JCIDs requirements. They may prepare Statements of Need or other appropriate documents when acquisitions qualify for Abbreviated Acquisition Authority.

(a) JCDs, DCRs, ICDs, CDDs, and CPDs will be completed as described in reference (c).

(b) DOTMLPF Change Proposals capability gaps will be initiated consistent with guidance provided by the authority responsible for managing the required action.

c. Produce Staffing Documents Required for MROC/Joint Requirements Oversight Council (JROC) Approval Process. IDs will prepare the staffing of packages to the MROC/JROC.

d. Brief Packages to JROC/MROC.

2003. Step 3: Develop MAGTF Requirements List

1. Purpose. To provide decision makers with a prioritized list of current programs of records and new initiatives that will be considered for resourcing during the POM cycle. Figure 2000-6 summarizes the tasks required to develop and approve the MRL.

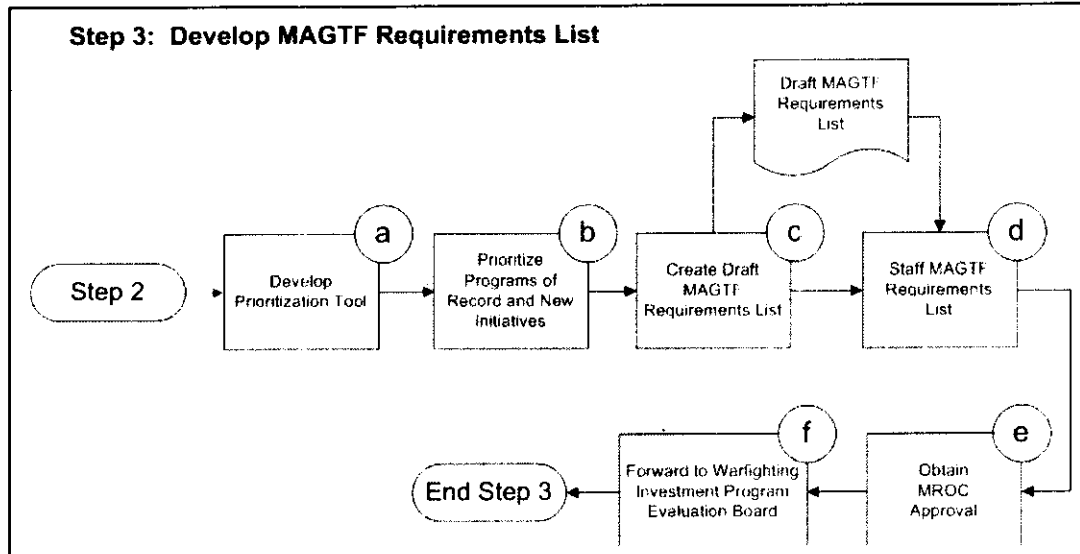


Figure 2000-6: Tasks Conducted to Develop and Approve the MAGTF Requirements List

2. Timeline. This step will be conducted from June to August of odd numbered calendar years.

3. Participants. Guidance for developing the MRL will be provided by CBA Branch in coordination with the advocates and IDs. Prioritization will be conducted by the DWGs that include the advocates, COMMARFORs, DC CD&I, and Commander, MCSC.

4. Inputs. Inputs to step 3 include:

- a. Current PORs.
- b. New initiatives identified in capabilities documents.
- c. Other documents supporting changes in the remaining DOTMLPF pillars.

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5. Outputs. A prioritized list of PORs and new initiatives that provide current Marine Corps capabilities or are needed to eliminate MAGTF capability gaps. The prioritized PORs and initiatives detailed in the MRL provide decision-makers with information for effectively resourcing the Marine Corps' most pressing solutions to capability gaps.

6. Tasks to be performed

a. Develop prioritization process

(1) CBA Branch will develop an analytical methodology to help prioritize PORs and new initiatives for the MRL. The analytical process will provide a mechanism for weighting the importance of each POR/new initiative against specific criteria. These criteria will incorporate the relative importance to fulfilling Marine Corps missions, alignment of each POR/initiative to Marine Corps strategic direction (as identified by the CMC), alignment with strategic planning guidance, and the relative risk of not acquiring a capability.

(2) Director, CDD, will approve the prioritization methodology and criteria. CBA Branch will provide the prioritization methodology and a required prioritization format to each of the IDs in their role as leaders of the DWGs.

b. Prioritize PORs and new initiatives

(1) The DWGs will prioritize PORs and new initiatives within their WFF using the evaluation method developed above. As managers of their WFF DWGs, IDs will include the advocates during the prioritization process.

(2) CBA Branch will create a methodology for integrating the individual prioritized lists into one comprehensive, prioritized list of materiel and non-materiel initiatives proposed to eliminate or mitigate capability gaps across the MAGTF. CBA Branch may request the support of Operations Analysis Division (OAD) to develop the integration method. The draft method will be presented to the Director, CDD for approval.

(3) The IDs will submit their prioritized lists to the CBA Branch. CBA Branch will apply the approved integration method.



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c. Create draft MAGTF Requirements List. CBA Branch will develop a draft MRL.

d. Staff Draft MRL. The draft MRL will be staffed via Marine Corps Action Tracking System (MCATS) to advocates and COMMARFORs. CBA Branch will adjudicate comments and prepare the Final MRL for MROC approval. See figure 2000-6.

e. Obtain MROC approval. CBA Branch will present the MRL to the MROC for approval via the MROC Secretariat.

f. Forward the MRL to the PEBs for consideration.

(1) The PEBs will use the MRL in their analysis of initiatives that should be considered for funding during the next POM cycle.

(2) The WIPEB will not consider initiatives and requirements unless they are listed in the MROC-approved MRL. Initiatives and requirements not listed in the approved MRL must be approved by the MROC as changes to the MRL before consideration by the WIPEB.

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**APPENDIX A TO ENCLOSURE 2**  
**IDENTIFYING NON-MATERIEL APPROACHES FOR ELIMINATING OR**  
**MITIGATING CAPABILITY GAPS**

This appendix identifies questions and issues that should be addressed to help identify how each of the DOTMLPF pillars contributes to capability gaps in Marine Corps capabilities.

1. Doctrine. Include new or revised joint doctrine, service doctrine, tactics, techniques, and procedures, and policy.

a. Is there existing doctrine that addresses the issue or relates to the issue? Joint? Service? Multiservice? Multinational? Agency?

b. Is existing doctrine current?

c. Are there procedures in place that are being followed that contribute to the issue? If followed, could they, at least in part, correct or lessen the impact?

d. Can new doctrine or procedures be developed that will provide a partial or full solution to the survivability gap? If yes, identify and document updates/changes required.

2. Organization. Review and assess current organizational structure with key stakeholders. Consider new or revised OPLANS, business processes, process charts, goals and objectives, standard operating procedures, support plans, organizational charts, deployment of equipment and troops.

a. Where is the gap occurring?

b. Does the organization have the resources (people, equipment, and procedures) available and in place to deal with the issue?

c. Who is impacted by the gap?

d. Will organizational changes at any level eliminate the gap?

3. Training. Review and assess all aspects of how training affects the capability gap. During the review, consider training plans, training content, delivery methods (classroom,

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web-based, etc.), training support infrastructure, training evaluations, training goals and objectives, training personnel, tasks, conditions, and standards.

- a. Is the gap caused, at least in part, by a lack of training or inadequate training?
- b. Is the training being delivered effectively or with the correct method?
- c. How are training results being measured and monitored?
- d. Do the personnel affected by the gap have access to training?
- e. Is the command supporting/enforcing the training effort?
- f. Are the trainers properly staffed and funded?
- g. What changes to training will either eliminate the capability gap or lead to a partial solution?
- h. Would new training programs for newly recruited personnel mitigate or eliminate the gap?

4. Leadership and Education. Include change management actions, implementation support, policy direction, funding support, plans of action.

- a. Is the issue caused, at least in part, by inability to cooperate/coordinate/communicate with external organizations?
- b. Do senior officers understand the scope of the problem?
- c. Does the command have the resources to correct the issue?
- d. Is the leadership being educated on effective change management principles?
- e. Is senior leadership aware of the drivers and barriers to resolving the issue within his/her own organization?
- f. Will updates and/or changes to the leadership and education process help resolve issues identified? If yes, identify and document updates/changes required.

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5. Personnel. Review new or revised occupational specialties and sub-specialties, recruitment, staffing levels, knowledge, skills, abilities, and competencies. Review and assess the current personnel manning situation with key stakeholders.

a. Is the issue caused, at least in part, by the inability or decreased ability to place qualified and trained personnel in required occupational specialties?

b. If the capability gap is to be closed with new materiel, systems, or equipment, will different occupational specialty codes be needed to identify the primary users or meet maintenance requirements?

c. Will updates and/or changes to the current manning situation help resolve issues identified? If yes, identify and document updates/changes required.

6. Facilities. Consider existing garrison facilities, field fortification support, main supply routes, operations and maintenance, roads/trails, other physical infrastructure, engineering support services.

a. Is the issue caused, at least in part, by inadequate infrastructure? If yes, is the issue a result of:

- (1) Aging or wear?
- (2) New engineering that did not meet needs?
- (3) Battle Damage/Threat?

b. Was the issue caused by a lack of proper environmental controls?

c. Was issue caused, at least in part, by inadequate

- (1) Facilities operation/maintenance?
- (2) Roads/Trails?
- (3) Main supply routes\$
- (4) Force bed down?
- (5) Hardening?
- (6) Field fortification support?

d. Review and assess the current facilities situation with key stakeholders.

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e. Will updates and/or changes to existing facilities help resolve issues identified? If yes, identify and document updates/changes required.

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**APPENDIX B TO ENCLOSURE 2**  
**PRODUCING IDEAS FOR MATERIEL APPROACHES**

1. Purpose. This appendix proposes approaches that may be used to systematically produce Ideas for Materiel Approaches (IMAs), which will be examined and analyzed for supportability, operational risk, affordability, technological risk, and DOTMLPF implications to identify the most worthy solutions within cost, schedule, and performance requirements.

2. Role of DWG Members. DWG members represent their organizations' interests in the conduct of comprehensive assessments of all IMAs. The collaborative nature of this effort is meant to develop integrated approaches that reflect defined requirements, while vetting the concerns and interests of all stakeholders.

3. Approaches for Producing Ideas for Materiel Approaches

a. The IMA should be a brainstorming process to help understand and identify potential approaches that might be used to help eliminate gaps in warfighting capabilities. Ideas may take different approaches to filling the capability gap, each addressing operational considerations and compromises in a different way. The process should identify technologies that, if matured, would provide a more effective approach in the future. The goal is not to engineer a system, but rather, to determine the best approach for providing the required capability.

b. Sources of ideas that might lead to the identification of materiel solutions include:

- (1) Future Joint or other service material programs.
- (2) Scientific/engineering community research into technology that might support an idea for a materiel approach.
- (3) Experimentation and wargaming.
- (4) Industry and think tank organizations.
- (5) Exercises, war games and operation after-action reports.

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(6) Lessons Learned.

(7) Concept papers and transformation change recommendations.



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**APPENDIX C TO ENCLOSURE 2**  
**CONDUCTING THE ANALYSIS OF MATERIEL/NON-MATERIEL APPROACHES**

1. Purpose. The Analysis of Materiel/Non-materiel Approaches (AMA) is conducted to identify the most appropriate strategy for eliminating the capability gap under consideration. This appendix identifies approaches the DWGs should consider when analyzing materiel and non-materiel approaches.

2. Considerations

a. The materiel approaches might include a FoS or SoS that takes different approaches to filling the capability gap, each addressing operational considerations and compromises in a different way. The approaches will include the overarching DOTMLPF changes necessary to meld the FoS and SoS into an effective capability. The FoS and SoS materiel approaches might require systems delivered by multiple sponsors and materiel developers.

b. The AMA will assess the operational risk associated with each approach. It will also consider the integrated DOTMLPF implications of each approach, to the extent that those implications can be identified. The AMA must:

(1) Confirm the nature of the capability and a rough assessment of the sustainability/supportability of the system or SoS.

(2) Examine the ability of the identified ideas for materiel approaches to provide the desired capability or capabilities under the conditions specified.

(3) Evaluate the delivery time frame for each approach. In doing so, AMAs must consider the following:

(a) For approaches that use existing capabilities or capabilities that are already scheduled for delivery, examine how the delivery of the proposed capability ties in to the existing program.

(b) For new materiel approaches, evaluate when a useful capability could be delivered to the warfighter through the use of existing technology.

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(c) For approaches based on FoS and SoS solutions, evaluate the necessity to synchronize the development of systems and integrated DOTMLPF considerations across sponsors and materiel developers.

(4) Evaluate when a new or increased capability could be delivered by bringing together existing or new systems in new ways.

(5) Identify technologies that, if matured, would provide a more effective approach in the future.

(6) Conduct market research to determine if commercial items or non-developmental items are available to meet the desired capability, or could be modified to meet the desired capability. If market research indicates commercial or non-developmental items are not available to satisfy the need, reevaluate the need and determine whether it can be addressed through commercial or non-developmental items.

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**ENCLOSURE 3**  
**Phase III: Program Development**

3000. Overview

1. Purpose. To describe the steps used to complete Phase III, Program Development, of EFDS.

2. Background. Phase III, Program Development, represents the intersection between the EFDS and the PPBES. Program Development within the EFDS encompasses those actions taken by the WIPEB in its effort to build a fiscally balanced program that meets capability objectives for inclusion in the Marine Corps POM.

a. The Marine Corps maintains a clear focus on all resource development efforts by designating DC P&R as responsible for all Marine Corps PPBE matters.

b. The basic purpose of the programming phase is the translation of approved concepts and capability objectives into a definitive program, designed to achieve an optimum allocation of resources. Programming is the link between plans and the budget, transforming needs into a time-phased program of affordable and achievable activities. The principal programming product of the PPBES, as specific to the Marine Corps, is the Future Years Defense Program (FYDP), a six year span that incorporates the individual programs developed by all PEBs.

c. The Marine Corps POM is the Commandant's recommendation to the Secretary of the Navy for the allocation of resources to accomplish assigned missions. During even-numbered years, Program Development produces a Service POM that covers a six-year period. During odd-numbered years a Program Review (PR) will be conducted that covers a five year period. The POM development process is significantly more detailed than that conducted for a PR, and involves the examination of existing programs to determine their continued relevance and viability, program adjustments (if required), and consideration of new initiatives. The PR is intended as an opportunity to make necessary adjustments to established programs and to address only those emerging requirements that cannot wait until the next POM cycle.

d. Specific guidance concerning timelines and requirements for Program Development will be published by DC P&R in a series of Programming Serials.

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3. POM Development. The WIPEB uses a nine step process to execute DC P&R guidance.

a. Step 1 - Establishment of PEB membership and structure. A Programming Serial published by DC P&R established WIPEB membership and structure.

b. Step 2 - Allocation of resources from DC P&R to WIPEB. Existing programs, with associated fiscal resources, or total obligation authority (TOA), are assigned to 3-Star PEBs. The Warfighting and other PEB will develop fiscally balanced options to execute OSD and CMC intent within their functional areas.

c. Step 3 - Baseline Review

(1) The baseline review is a process designed to identify those existing programs, or portions of programs, that represent a level of capability that is absolutely critical to the Marine Corps' ability to accomplish essential missions. The baseline review for POM development is conducted in the odd-year before the PEBs are convened. The collection of programs that represents this critical capability level is referred to as specified in DC P&R Program Serial, generally "baseline" or "core." Specific POM and PR guidance is published by DC P&R via Programming Serial. Sub-processes within this step include:

(a) Preparation of program briefing packages by MCSC.

(b) Establishment of baseline inclusion criteria. A program's inclusion in the baseline is contingent upon its assessment as contributing directly to a critical Marine Corps capability and being programmatically stable.

(c) Review of briefing packages and selection of individual programs to be briefed. DC P&R, DC CD&I, and Commander, MCSC collaborate on program selection process for baseline review briefings.

(d) Selected baseline review briefs presented in WIPEB forum.

(e) DC CD&I and Commander, MCSC, informed by DC P&R, develop baseline recommendation for approval by DC CD&I. This collaborative effort between P&R, CD&I, and MCSC will evaluate capability contributions of currently funded programs to capability areas previously identified and prioritized in

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earlier phases of the EFDS process (as reflected by the MCL and a final or draft MRL) and programmatic stability indicators, as identified by MCSC.

(2) The output of the baseline review step is the establishment of the baseline, a set of programs, with associated resources, that are "fenced" from competition for resources in subsequent POM development processes. Some programs, while included in the baseline, may be reduced to a lower baseline funding level if it is determined that this reduced funding level represents a capability contribution in line with baseline criteria. Should the fiscal environment be driven by exigencies to be significantly more austere than anticipated, baseline programs may be subject to competition.

d. Step 4 - Initiative Development. Programs or portions of programs not included in baseline, and any new program candidates identified to fill capability gaps, will be competed in the form of POM initiatives.

(1) Initiatives are developed to compete for above baseline funding within the WIPEB, or may be advanced as unfunded initiatives to the POM Working Group (PWG) for competition for resources previously allocated to other PEBs. Initiatives may be developed based on new or expanded capabilities as identified in the EFDS and documented in the approved MRL. Initiatives may also be developed in support of existing programs to either seek restoration of funding levels that were reduced during baseline setting or to seek additional funding in order to achieve expanded capability. Initiatives are assigned to responsible FSGs in the same manner as with programs in step 2. Specific guidance, to include direction that programmatic priorities as established in the MRL be considered by all PEBs, is published by DC P&R via Programming Serial.

(2) The WIPEB will not consider initiatives and requirements unless they are listed in the MROC-approved MRL. Initiatives and requirements not listed in the approved MRL must be approved by the MROC as changes to the MRL before consideration by the WIPEB.

e. Step 5 - Program Evaluation. Each PEB will validate and prioritize both new initiatives and existing programs to develop a consolidated program that is balanced from both a capability and fiscal perspective. PEBs are tasked to address critical new requirements within the established PEB TOA. An established

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number of unfunded initiatives may be brought forward to the Program Integration step for consideration. The WIPEB receives guidance for the Program Evaluation step from both the MRL and DC P&R Programming Serial. The Guidance Programming Serial typically includes approved CMC Programming Guidance and resource priorities, or "red lines" derived from other strategic level and current guidance that impacts upon the Marine Corps programming process. The Warfighting PEB addresses this step by assigning programs and initiatives to Function Sub-Groups (FSG) aligned with WFF. FSGs will initially validate and prioritize programs and initiatives to develop FSG specific lists for consolidation and prioritization by the Warfighting PEB. The output of step 4, a consolidated and fiscally informed program, with resultant unfunded initiatives, is provided to the responsible DC for approval prior to being reviewed at the MROC.

f. Step 6 - MROC Review. Programs developed by the WIPEB are briefed to the MROC. This brief is conducted to provide senior leadership with an in-process review and to provide an opportunity for additional guidance necessary to complete program development.

g. Step 7 - Program Integration

(1) Program Integration is performed by the PWG under the guidance of DC P&R. During this step the programs of the respective PEBs are merged to provide a single integrated and prioritized list. High-priority unfunded initiatives may be addressed during this phase via offsets from funded programs with a lower priority. In most cases multiple Courses of Action(s) (COAs) will be developed.

(2) Individual programs left unfunded, or under-funded from the original request, may be captured on an Unfunded Priority List (UPL), after the President's Budget Estimate has been established. The UPL can be used to guide programmatic decisions should additional resources become available in the current POM cycle. Programs receiving no funding are eligible to compete in future POM cycles.

h. Step 8 - MROC Review/recommendation. The results of the program Integration step will be briefed to the MROC. After examination of the recommended COAs the MROC will forward a recommendation to the Commandant for approval.

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i. Step 9 - CMC approval

4. Program Review. The steps associated with the PR process, undertaken in odd, PR years, are similar to those accomplished during even-numbered POM development years. The exception is that a baseline review is not conducted. Rather, issues are developed as a result of fact-of-life changes, modifications to strategic guidance, and programmatic developments that necessitate the restructuring of existing programs. Issues are considered only if they are driven by conditions that cannot wait until the following POM cycle to be addressed.

5. Participants (as identified in P&R POM Serial). WIPEB, chaired by DC CD&I, is typically supported by representatives from the following organizations:

- a. DC P&R
- b. DC PP&O
- c. DC Aviation
- d. DC I&L
- e. DC M&RA
- f. COMMARFORCOM
- g. COMMARFORPAC
- h. COMMARFORRES
- i. COMMARCENT
- j. COMMARFOREUR
- k. COMMARFORSOUTH
- l. COMMARSOC
- m. COMMARFORSTRAT
- n. COMMARCORSYSCOM
- o. Director, C4 Department, HQMC
- p. Director, Intel Department, HQMC

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q. CG, TECOM

r. CG, LOGCOM



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**ENCLOSURE 4**  
**PHASE IV: CAPABILITIES IMPLEMENTATION**  
**AND TRANSITION**

4000. Overview

1. Purpose. To describe the process required to complete phase IV, Capabilities Implementation and Transition, of EFDS.

2. Background. The purpose of Phase IV is to ensure that fully integrated solutions are identified, fielded, and transitioned to the operating forces, and to the SE as needed. Phase IV involves activities needed to execute the initiatives prioritized in Phase II. Materiel and non-material initiatives that were recommended for funding by the WIPEB and approved in the POM are developed in this phase. Activities identified in the SPD that were forwarded to other PEBs and approved in the POM are also developed in this phase by the appropriate command or agency, as identified in the SPD for implementation. Initiatives may also be executed if they can be funded using current year funding resources. See figure 4000-1, Overview of Phase IV, Capabilities Implementation and Transition.

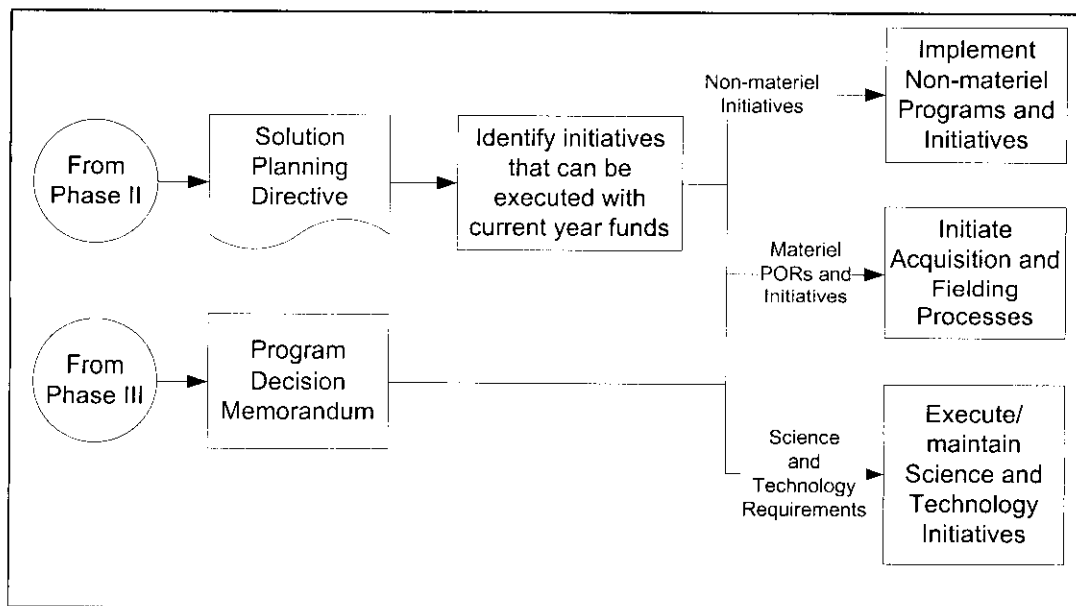


Figure 4000-1: Overview of Phase IV, Capabilities Implementation and Transition

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3. Non-materiel initiatives for eliminating or mitigating capability gaps cross the DOTMLPF pillars. (See figure 4000-2 for a summary of actions for managing non-materiel solutions to capability gaps.

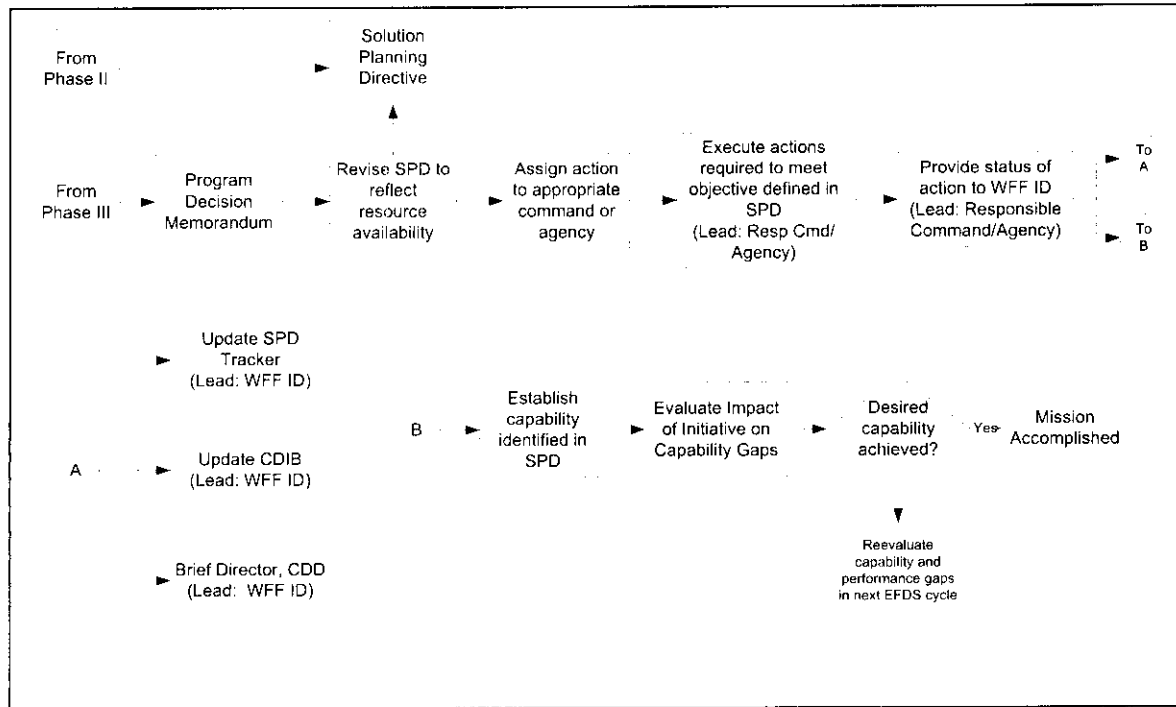


Figure 4000-2: Actions for Managing Non-Materiel Solutions to Capability Gaps

a. Initiatives will be assigned in the SPD to the appropriate command or agency for implementation, and to a specific WFF ID for oversight and reporting purposes. These commands or agencies will participate in SPD development; therefore, timelines identified in the SPD will have been vetted by responsible authorities. IDs having oversight responsibilities will coordinate with Commands or agencies to report progress toward meeting SPD timelines.

b. The WFF IDs will coordinate status reporting to the CDIB and validate to the CDIB that initiatives are delivered to the operating forces.

c. When resources are available, commands and agencies may implement initiatives within the current budget year. Initiatives requiring future funding will be considered during the upcoming POM build. For example, revisions to existing training courses might be executed using current year budget but, initiatives calling for expanded facilities

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may require funding during the POM process. As discussed in phase II, Solutions Analysis, and phase III, Program Development, the MRL will be used to prioritize all new initiatives and existing PORs by Marine Corps Program Code (MCPC). MAGTF Integration Division will forward initiatives to the appropriate PEB for consideration during their deliberations.

4. Materiel acquisitions. Materiel acquisitions are managed using the Defense Acquisition System, an event-driven process consisting of five phases separated by 3 milestones, and a full-rate production decision. Each of the capability documents are aligned with one of the acquisition milestones accomplished when the acquisition process moves from one phase to another. See figure 4000-3, Summary of Phase IV Actions for Establishing Materiel-based Capabilities, for highlights of managing capabilities documents.

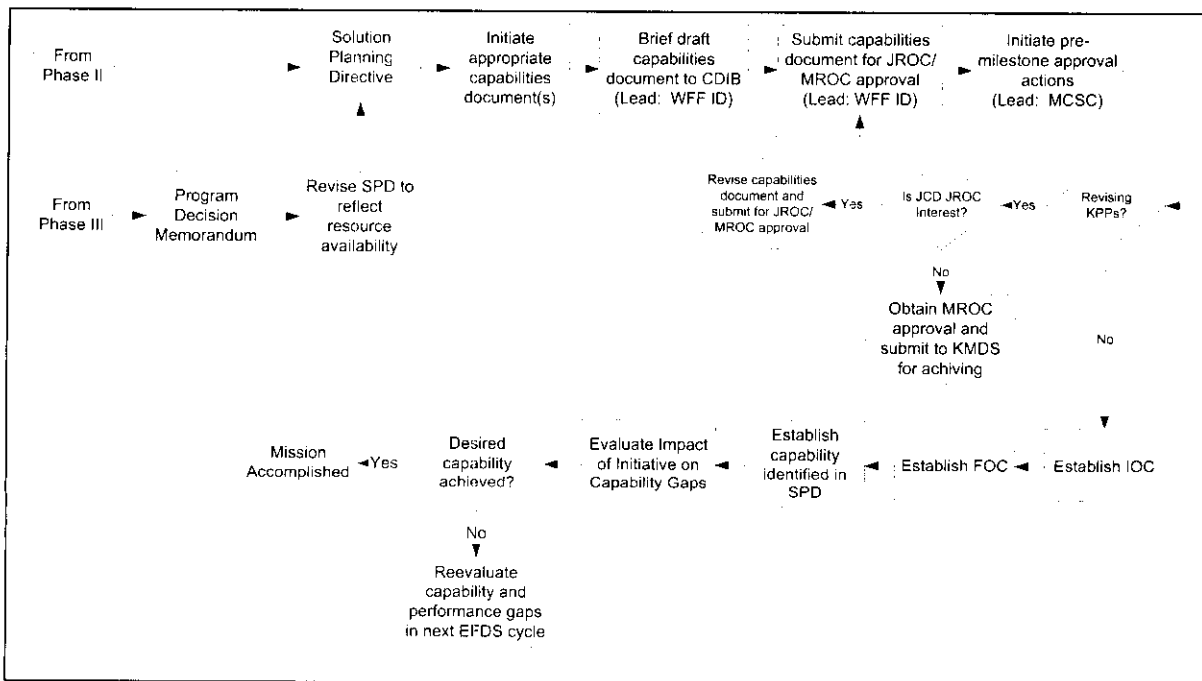


Figure 4000-3: Summary of Phase IV Actions for Establishing Materiel-Based Capabilities

a. S&T initiatives are incorporated into the S&T Strategic Plan developed by MCWL. When sufficiently mature, S&T generated technologies and strategies are considered for adoption during the FSA performed in Phase III of EFDS. In accordance with Title 10, Marine Corps S&T budget lines for 6.2 and 6.3 funds are allocated to the Office of Naval

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Research for the execution of Marine Corps S&T. These efforts are monitored by CG MCWL acting as the S&T Executive Agent for the DC CD&I. MCSC budgets for and receives 6.4 funds for further development of acquisition POR.

b. Timeline and Materiel Products Developed.

Relationships between capability documents and acquisition milestones are graphically depicted in figure 4000-4. Note that they can be aggregated as Pre-System Acquisition, System Acquisition, and Sustainment. The ICD and CDD address pre-system acquisition decisions. The CPD addresses system acquisition decisions required to achieve MS-C.

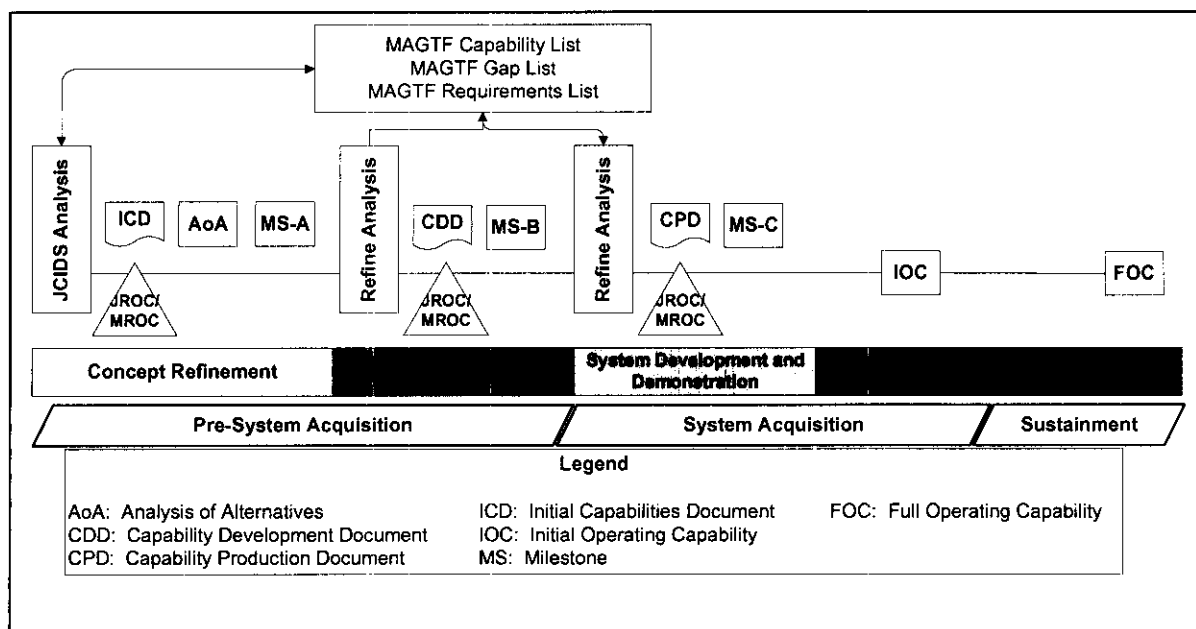


Figure 4000-4: Alignment of Capability Documents to the Acquisition Process

c. ACQ Phase 1 - Concept Refinement. The purpose of this phase is to refine the initial concept and develop a Technology Development Strategy (TDS). Entrance into this phase depends upon an approved ICD resulting from the analysis of potential concepts across the DoD Components, international systems from Allies, cooperative opportunities; and an approved plan for conducting an analysis of alternatives (AoA) for the selected concept, documented in the approved ICD. The Milestone Decision Authority's (MDA) decision to begin Concept Refinement DOES NOT mean that a new acquisition program has been initiated.

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d. ACQ Phase 2 - Technology Development. The purpose of this phase is to reduce technology risk and to determine the appropriate set of technologies to be integrated into a full system. The Technology Development phase is a continuous technology discovery and development process reflecting close collaboration between the S&T community, the user, and the system developer. It is an iterative process designed to assess the viability of technologies while simultaneously refining user requirements. The project shall enter Technology Development at MS-A when the MDA has approved the TDS. The SECNAVINST 5000.2C identifies statutory and regulatory requirements applicable to MS-A. This effort normally shall be funded only for the advanced development work. A favorable MS-A decision does not mean that a new acquisition program has been initiated.

e. ACQ Phase 3 - System Development and Demonstration (SDD). The purpose of the SDD phase is to develop a system or an increment of capability; reduce integration and manufacturing risk (technology risk reduction occurs during Technology Development); ensure operational supportability with particular attention to reducing the logistics footprint; implement human systems integration (HSI); design for producibility; ensure affordability and the protection of critical program information (CPI) by implementing appropriate techniques such as anti-tamper; and demonstrate system integration, interoperability, safety, and utility. Development and demonstration are aided by the use of simulation-based acquisition and test and evaluation integrated into an efficient continuum and guided by a system acquisition strategy and Test and Evaluation Master Plan (TEMP). The independent planning of dedicated Initial Operational Test and Evaluation (IOT&E), as required by law, and Follow-on Operational Test and Evaluation (FOT&E), if required, shall be the responsibility of the Marine Corps Operational Test and Evaluation Activity (MCOTEA). A MCOTEA-approved live-fire test and evaluation (LFT&E) strategy shall guide LFT&E activity. In those cases where the Marine Corps is designated as the executive agent for a joint program, the Director, Defense Operational Test and Evaluation Activity shall designate the appropriate operational test activity.

f. ACQ Phase 4 - Production and Deployment. The purpose of the Production and Deployment phase is to achieve an operational capability that satisfies mission needs. Operational test and evaluation shall determine the effectiveness and suitability of the system. The MDA shall

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make the decision to commit the Marine Corps to production at MS-C. MS-C authorizes entry into low-rate initial production (LRIP) (for Major Defense Acquisition Programs (MDAP) and major systems), into production or procurement (for non-major systems that do not require LRIP) or into limited deployment in support of operational testing for Major Automated Information Systems (MAIS) programs or software-intensive systems with no production components. The SECNAVINST 5000.2 identifies the statutory and regulatory requirements that shall be met at MS-C.

g. ACQ Phase 5 - Operations and Support. Operations and Support has two major efforts: sustainment and disposal. The objective of this activity is the execution of a support program that meets operational support performance requirements and sustains the system in the most cost-effective manner over its total life cycle. When the system has reached the end of its useful life, it shall be disposed of in an appropriate manner.

5. Timeline and Non-Materiel Products Developed. The SPD approves non-materiel initiatives and products undertaken to eliminate or mitigate capability gaps. The SPD assigns responsibilities to the commands and agencies with oversight responsibility for the non-materiel pillars. These commands and agencies are responsible for implementing those initiatives/products consistent with the timelines published in the SPD and their own operational guidance and policies.

6. Participants. DCs, COMMARFORs; CG, TECOM; Commander, MCSC; and Directors of Intelligence, C4, and CDD.

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**ENCLOSURE 5**  
**CAPABILITIES DEVELOPMENT AND INTEGRATION BOARD**

5000. Mission. The Capabilities Development and Integration Board (CDIB) serves as the principal forum for performing combat development assessments and integrating those assessments across the Marine Air Ground Task Force (MAGTF). A primary CDIB responsibility is establishing a common understanding of capability development issues, helping to build consensus among the advocates, and reviewing and making recommendations to DC, CD&I concerning combat development issues.

5001. Organization and Membership. To promote consensus and integration across the Marine Corps, CDIB membership consists of Officers or civilian equivalents in the grade of LtCol/GS14 or above, representing the DCs, directors of Intelligence and C4, commanding generals of TECOM and MCWL, and commander, MCSC; ADC for CD&I for Joint and External Matters, and directors, WFF IDs. The Director, CDD may designate others, as deemed appropriate. The CDIB is chaired by the Director, MID.

5002. Responsibilities and Accountability. At a minimum, the CDIB will review and make recommendations to DC, CD&I concerning all combat development and integration issues at the following points within the EFDS:

1. Initial entry of an U-UNS into the EFDS.
2. For Marine Corps concepts requiring integration across the CDIB member organizations, prior to each phase of the EFDS process.
3. For materiel and non-materiel components of capabilities, prior to milestone decisions, if requested by CDIB member organizations.
4. For Joint Capabilities Integration and Development System (JCIDS) documents, i.e., Initial Capabilities Document (ICD), Capability Development Document (CDD), and Capability Production Development (CPD), prior to validation and approval.
5. Prior to Marine Requirements Oversight Council (MROC) decision points as identified in the EFDS process.

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**ENCLOSURE 6**  
**UNIVERSAL NEEDS STATEMENT PROCESSING**

6000. Overview

1. Purpose. To describe the submission, processing and influence of a Universal Need Statement (UNS) on the EFDS process.

2. Background. The UNS is designed to act as a "work request" for current and future desired capabilities. It identifies operational enhancements, opportunities, and deficiencies in terms of a stated capability set. Opportunities may include new capabilities, improvements to existing capabilities, and elimination of redundant or unneeded capabilities. There are instances where a deliberate UNS may have resulted from an Urgent UNS (U-UNS). This would be the case for a capability solution fielded via the U-UNS Process and then recommended for consideration as a POR. It may also be used when a capability solution cannot be provided by the U-UNS Process due to technological, industrial, or other constraints and which must then be pursued via the deliberate four phases of the EFDS.

3. UNS Submission and Processing. Advocates, the Operating Forces, or the SE can generate an UNS. The UNS will be further developed by the advocate to address required capabilities and transition a capability into a warfighting requirement. These UNSs are forwarded to DC CD&I Capabilities Processing (CP) Branch which logs the UNS into a tracking system. The CP Branch then routes the UNS to the appropriate WFF ID within CDD and tracks its progress. The WFF ID analyzes the UNS and briefs it at the CDIB meeting. This briefing will be the first forum to address potential integration issues related to the UNS. The CDIB will provide recommendations for the "way ahead" for the UNS. The meeting will also aid the managing ID in further clarifying the capability gap, excess, or short fall, enabling the WFF ID to accurately enter the UNS into the FNA of the EFDS process or terminate the UNS.

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4. Influence on EFDS. The UNS process influences EFDS by articulating the warfighter's needs by identifying operational enhancements, opportunities, and deficiencies in terms of a stated capability set. Opportunities may include new capabilities, improvements to existing capabilities, and elimination of redundant or unneeded capabilities that may be addressed during the EFDS FNA.

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**ENCLOSURE 7**  
**URGENT UNIVERSAL NEED STATEMENT PROCESSING**

7000. Urgent Universal Need Statements

1. Purpose. The Urgent Universal Need Statement (U-UNS) is a tool that initiates an abbreviated form of CBP within the EFDS. It describes an acute deficiency in operational capability, and may include specific DOTMLPF recommendations. The Urgent UNS Process is intended to expeditiously field an interim solution to the capability gap identified in an U-UNS.
2. Definition. The U-UNS is an exceptional request from a combatant command-level Marine component commander for an additional warfighting capability critically needed by operating forces conducting combat or contingency operations. Failure to deliver the capability requested by the U-UNS is likely to result in the inability of units to accomplish their missions or risks increased probability of casualties and loss of life.
3. Limitations. The U-UNS Process does not provide the full integration of resulting capabilities, and will likely result in deficiencies across the pillars of combat development. These deficiencies may include accompanying training, associated manpower, or lifecycle sustainment. Capabilities fielded via the U-UNS Process are theater-specific and generally will not be fielded to all operating forces. Provision of these capabilities may adversely impact the resourcing and delivery of other capabilities developed through the deliberate EFDS.
4. Policy
  - a. The DC CD&I will continuously direct the development of procedures for the U-UNS Process in order to implement this directive.
  - b. The U-UNS Process will be designed and executed in order to deliver critical warfighting capabilities to operating forces conducting combat or contingency operations as rapidly as is possible.
  - c. An U-UNS may be originated only by units that are deployed to or awaiting imminent deployment to combat or contingency operations.
  - d. An U-UNS will be endorsed with a General Officer's signature and will be considered a valid capability request when

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approved by a combatant command-level Marine component commander conducting combat or contingency operations.

e. A validated U-UNS may be approved or disapproved only by the MROC.

f. An U-UNS may result in initiation of a deliberate UNS when a capability solution cannot be expeditiously provided by the U-UNS Process due to technological, industrial, or other constraints and which must then be pursued via the deliberate four phases of the EFDS.

g. A deliberate UNS will be initiated if the capability solution is recommended for consideration as a POR. UNS initiation begins the formal approval process to establish the capability as a long-term Marine Corps requirement.

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**Enclosure 8**  
**Terms, Definitions and Acronyms**

8000. Terms and Definitions

**Advocate Campaign Plan.** A plan, prepared by a MAGTF or functional advocate, which describes the advocate's approach for preparing his or her area of responsibility to meet future MAGTF missions and responsibilities.

**Conditions.** Variables of an operational environment or situation in which a unit, system, or individual is expected to operate and may affect performance. Includes:

- Military
- Physical
- Civil

**Excesses.** Capabilities that are beyond Marine Corps needs. Excesses may be the result of changing military requirements or changes in technology that make previously established capabilities obsolete. These "excess capabilities" will be considered for possible termination to allow resources to be reallocated to more important capability requirements.

**Capability gaps.** The inability to achieve a desired effect under specified standards and conditions through combinations of means and ways to perform a set of tasks. The gap may be the result of no existing capability, lack of proficiency or sufficiency in existing capability, or the need to recapitalize an existing capability.

**Initiative.** An initiative is a new program or effort, either materiel or non-materiel, initiated to eliminate or mitigate a capability gap. Initiatives could include establishing a new materiel solution, expanding or modifying an existing training program, revising/ establishing a Marine Corps doctrine, or any other action that addresses a DOTMLPF performance deficiency that contributes to a Marine Corps capability gap.

**Joint Capability Areas (JCA) - Tier 1.** A collection of similar capabilities grouped at a high level in order to support strategic investment decision-making, capability delegation, analysis and capabilities-based and operational planning. Tier 1 JCAs can be generated through any one of the following four sources:

- Provided to a regional COCOM by a supporting COCOM, Agency, or Service

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- Delegated by a CJTF to one of his component commanders for execution as the 'supported commander'
- Provided through a Regional COCOM to a CJTF for execution by one of the JTF staff principals in order to deliver specific functional capability across all the components of the JTF
- Identified by senior leaders for Tier 1 visibility (Source: CJCSI 3170.01F, 1 May 2007)

**Joint Capability Areas (JCA) - Tier 2.** A functional or operational capability with sufficient detail to support CJTF-level operations/missions, or joint force generation/management activities. Tier 2 JCAs scope, bound, clarify, and better define the intended mission set of their Tier 1 JCAs. They prevent duplication between Tier 1 JCAs, and are not Service or platform specific. (Source: CJCSI 3170.01F 1 May 2007)

**Marine Corps Task (MCT).** MCTs are common language, doctrinally based tasks that Marine Corps commanders will use to develop their Mission Essential Task List (METL). A MCT is comprised of a task title, task descriptions, measures and criteria establishing standards, or acceptable proficiency, required in the performance of the task to assure successful mission accomplishment. The Marine Corps Task List (MCTL) is the collection of all approved MCTs. (See MCO 3500.26A, Universal Naval Task List, Chapter 4, Marine Corps Task List)

**Tasks.** An action or activity (derived from an analysis of the mission and concept of operations) assigned to an individual or organization to provide a capability.

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8001. Acronyms

<b>Acronym</b>	<b>Term</b>
ACE	Aviation Combat Element
ACP	Advocate Campaign Plan
AGL	Advocate Gap List
AMA	Analysis of Materiel Alternatives
AoA	Analysis of Alternatives
BISOG	Blue-in-Support-of-Green
C4	Command, Control, Communication and Computers
CBA	Capabilities Based Assessment
CBP	Capabilities Based Plan
CDD	Capabilities Development Directorate
	Capability Development Document
CDIB	Capabilities Development and Integration Board
CE	Command Element
CMC	Commandant of the Marine Corps
COMMARFOR	Commanders Marine Forces
CPI	Critical program information
DC CD&I	Deputy Commandants for Combat Development & Integration
DC I&L	Deputy Commandant for Installations & Logistics
DC M&RA	Deputy Commandant for Manpower & Reserve Affairs
DC P&R	Deputy Commandant for Programs and Readiness
DoDAF	Department of Defense Architecture Framework
DON	Department of the Navy
DCR	DOTMLPF Change Recommendations
DOTMLPF	Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel and Facilities
DWG	DOTMLPF Working Group
EFDS	Expeditionary Force Development System
FAA	Functional Area Analysis
FNA	Functional Needs Analysis
FNC	Future Naval Capabilities
FoS	Family of Systems
FSA	Functional Solution Analysis
FSG	Function Support Group
GCE	Ground Combat Element
HIS	Human Systems Integration
HQMC	Head Quarters Marine Corps
ID	Integration Division
IOTE	Initial Operational Test and Evaluation

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<b>Acronym</b>	<b>Term</b>
IPL	Integrated Priority List
ISR	Intelligence, Surveillance, and Reconnaissance
ITSG	Information Technology Support Group
JCIDS	Joint Capabilities Integration and Development System
JUONS	Joint Urgent Operational Needs Statement
LCE	Logistics Combat Element
LFT&E	live-fire test and evaluation
LRIP	low-rate initial production
MAGTF	Marine Air Ground Task Force
MAIS	Major Automated Information Systems
MCCDC	Marine Corps Combat Development Command
MCL	Marine Air Ground Task Force Capabilities List
MCOTEA	Marine Corps Operational Test and Evaluation Activity
MCPC	Marine Corps Program Code
MCSC	Marine Corps Systems Command
MCTL	Marine Corps Task List
MDA	Milestone Decision Authority
MGL	Marine Air Ground Task Force Gap List
MID	MAGTF Integration Division
MRL	Marine Air Ground Task Force Requirements List
MROC	Marine Requirements Oversight Council
NCDP	Naval Capabilities Development Process
NExWE	Naval Expeditionary Warfare Engineering
NSS	National Security Strategy
OAG	Operational Advisory Group
OV	Operational View
PEB	Program Evaluation Board
POM	Program Objective Memorandum
POR	Program of Record
PPBE	Planning Programming Budgeting & Execution
PR	Program Review
PWG	POM Working Group
R3B	Resources, Requirements, and Review Board (R3B)
S&T	Science and Technology
SDD	System Development and Demonstration
SME	Subject Matter Expert
SoS	System of Systems
SPD	Solutions Planning Directive
SV	Systems View



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<b>Acronym</b>	<b>Term</b>
TECOM	Training and Education Command
TEMP	Test and Evaluation Master Plan
T-POM	Tentative-Program Objective Memorandum
UNS	Universal Need Statement
U-UNS	Urgent-Universal Needs Statement
UPL	Unfunded Priority List
WFF	Warfighting Function
WIPEB	Warfighting Investment Program Evaluation Board